

# Brookhaven National Laboratory



**Fiscal Year 2005**



## Brookhaven Science Associates Third Quarter Performance Summary



**Presentation to Policy  
Council July 25, 2005  
BHSO August 2, 2005**



# Agenda

1-

## **Contractual Performance Measures**

- Measure Owners
- Summary of Performance Measure
- Status of Metric
- Influencing Factors
- Plans
- Partnership Items

2-

## **Management System Stewards and Point of Contacts Program**

- Assigns POCs for each management system
- Roles and responsibilities for stewards and POCs
- Mechanisms of providing feedback

3-

## **Management System Performance**

- Current Condition
- Plans & Status

4-

## **Institutional Performance**

### **Event Data Analysis**

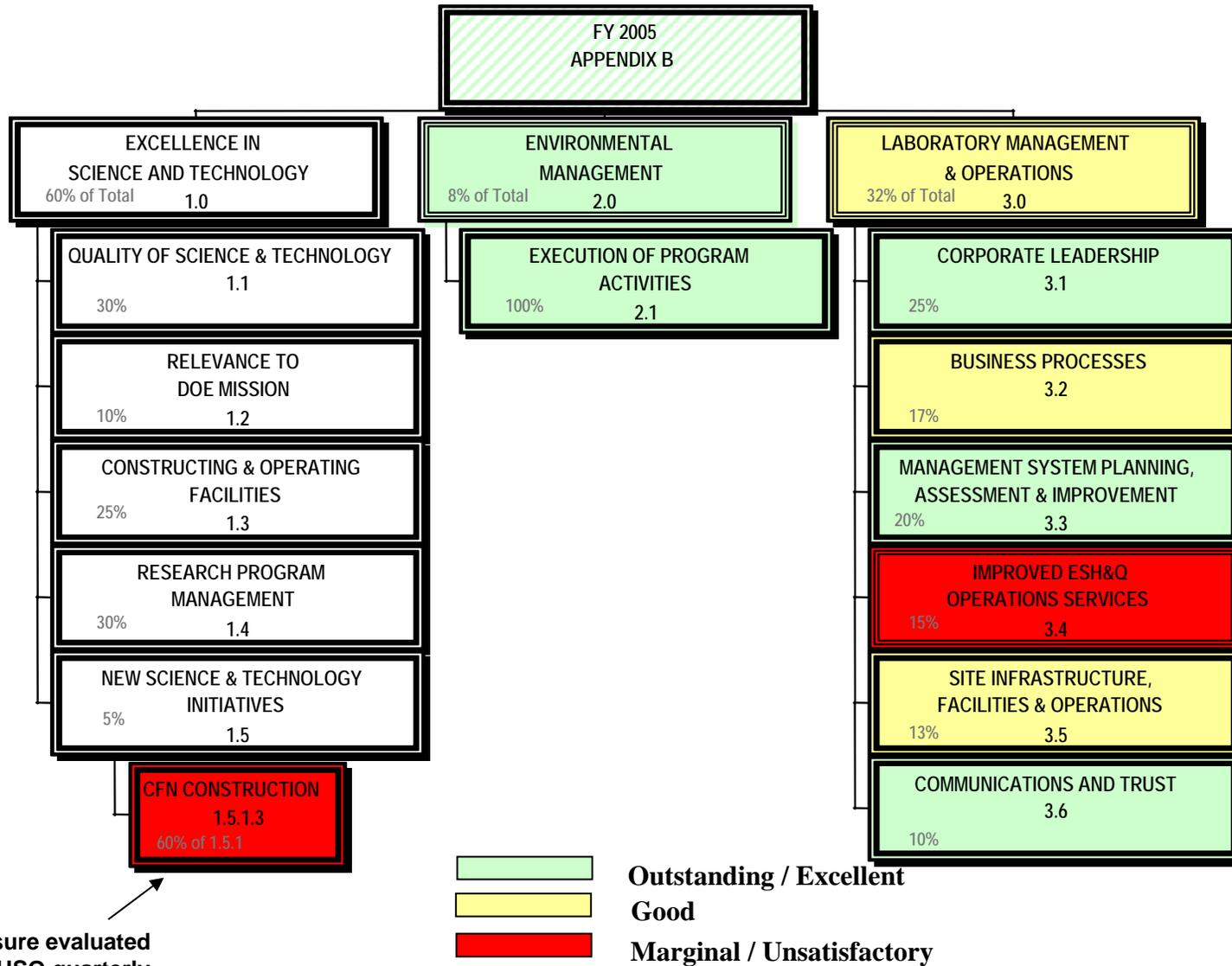
- ORPS
- PAAA
- Assessment/Corrective Action Tracking
- Tier 1 Inspection Results

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# FY05 Contractual Performance Measures

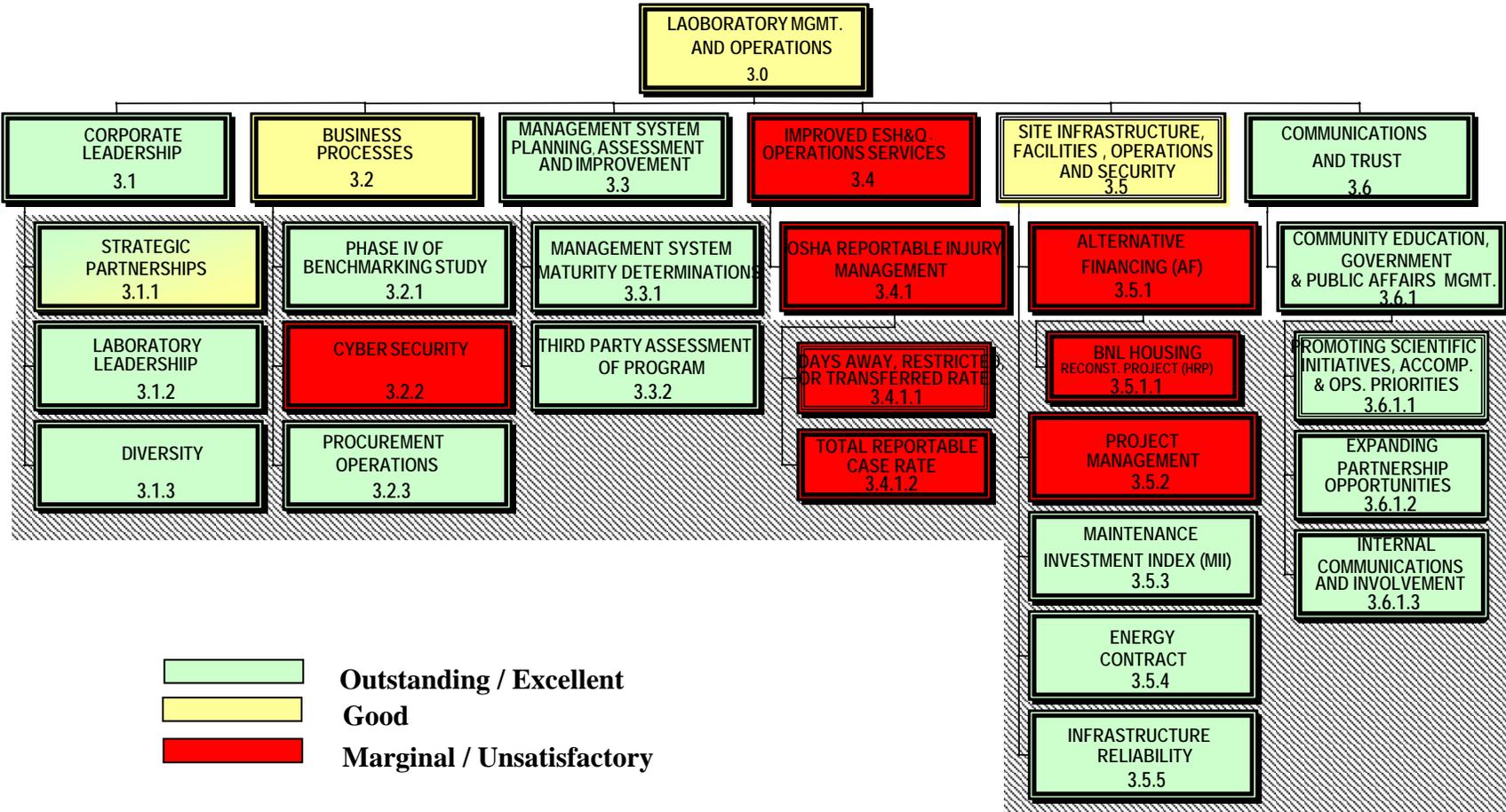
## Status

# FY 2005 Quarter 3 - Appendix B Structure



Measure evaluated by BHSO quarterly

# FY 2005 Quarter 3 - 3.0 Laboratory Management and Operations Structure



# MEASURE 1.5.1.3 CFN Construction

## Summary of Performance Measure

*The objective of this measure is to award the building construction contract within the cost Baseline to ensure sufficient contingency in a changing construction climate.*

## Specific Status of Metric

- The CFN construction package was issued for bid. Three bids were received which were all ~30% above the baseline of \$33million.
- \$10.5 million was removed from the project through value engineering of the building and reduction of equipment scope.
- The building drawings and bid package were modified and re-bid. Responses are requested mid July.

## Performance Metric

Rating	Criteria
Outstanding	Awardable at or less than Baseline cost or within + 1%
Excellent	Awardable contract within + 3% of Baseline cost
Good	Awardable contract within + 6% of Baseline cost
Marginal	Awardable contract within + 8% of Baseline cost
Unsatisfactory	Awardable contract within + 10% of Baseline cost

## BHSO Partnership Items

### Objectives for Next Quarter

- Receive and open bids. Bid values within 5% of revised estimate.
- Obtain CD-3 from DOE program office.
- Select contractor, place contract and start construction.

### Issues

- Unacceptably high bid values will impact the project schedule.
- Based on the high bid values, the third quarter project performance assessment is unsatisfactory.
- Re-bid values are expected to be in alignment with a revised estimate based on value engineering and equipment changes.
- The recovery plan is to re-baseline the building and equipment lists. It is projected that there will be no change in the project completion date or total project cost.

# MEASURE 2.1.1 Project Completions and Other Key Milestones

## Summary of Performance Measure

*BSA will be evaluated on quality of work planning and schedule management via project completions, key milestones, and completion of work packages.*

## Specific Status of Metric

- Nine of 16 work packages substantially complete (seven remaining).
- Three of remaining seven on track for July completion.
- Two of remaining seven on track for August completion.
- Two of remaining seven will be complete in September.
- Rail issue impacted several work packages, however, schedule work-arounds will result in recovery.

**Outstanding**

## Performance Metric

All fee associated with this Critical Outcome is earned	16 of 16 work packages and documentation completed and approved per Note 1
Loss of 50% of Critical Outcome 2.0 fee	15 of 16 work packages substantially completed
Loss of 100% of Critical Outcome 2.0 fee	13 or 14 of 16 work packages substantially completed
Loss of all Critical Outcome fee	12 (or less) of 16 work packages substantially completed

## BHSO Partnership Items

- Monthly work package status reports provided to DOE; no exceptions or comments received.

## Objectives for Next Quarter

- Complete all remaining work.
- Drive full completion of all work packages including regulatory close-out.

## Issues

- Earlier GFSI issue for Work Package 177 seemingly resolved; on track for August completion.
- Need to mobilize contractor in order to complete Work Package 129.

# MEASURE 3.1.1 Strategic Partnerships

## **Summary of Performance Measure**

*BSA will endeavor to establish partnerships or programs that result in sponsorship or enhanced financing from non-DOE entities to support research programs.*

## **Specific Status of Metric**

*General Clinical Research Center (GCRC)*

- Completion of MOU and Workflow Plan between BSA and SBU for use of SBU's IRBs.
- Appointed 3 former BNL IRB members to the SBU IRBs, 3 additional to be appointed in July.
- SBU's IRBs commenced review of human subject applications from BNL.

## **Performance Metric**

Outstanding	Consistent with the strategic agenda for the laboratory, identify and implement a select few top priority actions necessary to support critical elements of the strategic agenda, and deliver new substantial partnerships or programs for enhanced non-DOE funding at BNL in accordance therewith.
Excellent	Consistent with the strategic agenda for the laboratory, identify a select few top priority actions necessary to support critical elements of the agenda, and deliver confirmation of emerging partnerships with non-DOE entities that have the potential to sponsor substantial research programs/activities at BNL.
Good	Consistent with the strategic agenda for the laboratory, identify a select few top priority actions necessary to support critical elements of the agenda, and take actions identifying further substantial partnerships or programs for enhanced non-DOE funding at BNL in accordance therewith.
Marginal	Failure to implement priority actions from strategic agenda and take actions at the Corporate level to initiate substantial partnerships or programs for enhanced non-DOE funding at BNL.
Unsatisfactory	Failure to prioritize and take actions at the corporate level to initiate substantial partnerships or programs for enhanced non-DOE funding at BNL.

# MEASURE 3.1.1 Strategic Partnerships (cont.)

## **Summary of Performance Measure**

*BSA will endeavor to establish partnerships or programs that result in sponsorship or enhanced financing from non-DOE entities to support research programs.*

## **Specific Status of Metric**

### General Clinical Research Center (GCRC) (cont.)

- Since the BNL clinical research center became a satellite facility of SBU general clinical center (GCRC), 41 investigators initiated human protocols from BNL were approved by the general advisory council (GAC) of the GCRC. Most of these projects are funded by NIH and DOE.

- In the past year, 688 subjects participated in research protocols at BNL, and 11 subjects from the west coast and local area were admitted to the SBU GCRC for overnight observation and care.

- With this joint venture, two protocols (i.e. study of autism) from SBU investigators were approved to perform imaging studies at BNL in the past year.

- Projects were initiated to perform human studies using PET and functional MRI at BNL by the investigators of the departments of anesthesiology, medicine and pharmacology.

### IBM SUR Award

- SBU has received a \$750,000 Shared University Research (SUR) award from IBM

- The award consists of a pSeries supercomputer which will be used to support research in parallel computing, structural biology, nanomaterials, bioinformatics, and studies.

### MRSEC in Thermal Spray

- BNL participation in the SBU MRSEC on Thermal Spray includes collaboration of BNL/SBU scientists in the synthesis/characterization of novel magnetic materials, magnetic caloric oxides, MgB<sub>2</sub> superconductors; and the writing of several important publications as a result. Joint SBU/BNL activity activity ranges from collaborative research to a project to produce MgB<sub>2</sub> powders with the company Specialty Materials (now an SBIR phase II proposal to DOE) to the development of a unique capability in Induction Plasma Synthesis (an MRSEC Seed).

# MEASURE 3.1.1 Strategic Partnerships (cont.)

## **Summary of Performance Measure**

*BSA will endeavor to establish partnerships or programs that result in sponsorship or enhanced financing from non-DOE entities to support research programs.*

## **Specific Status of Metric**

### NSF Support for Upgrade of PHENIX at RHIC

- There are 2 proposals to NSF for detector upgrades for the PHENIX experiment.
- NSF MRI proposal headed by SBU, secured a promise of \$57,000 for infrastructure from Office of the Vice President for Research at SBU and received notification from NSF of recommendation of full proposal funding for \$250,000.
- SBU MRI proposal is for the acquisition of a Hadron Blind Detector (HBD) to be used in the PHENIX Experiment at the RHIC.
- The HBD will allow measurement of the temperature of the Quark Gluon Plasma produced in heavy ion collisions at RHIC, by detecting electrons and positrons from virtual photons radiated by the plasma. The HBD will directly measure and reject the otherwise overwhelming background of electrons and positrons from unstable hadron decays. The HBD utilizes novel technology: CsI photocathodes evaporated onto GEM (Gas Electron Multiplier) detectors to detect Cherenkov photons radiated by electrons traversing the detector.
- The conceptual design of this detector was done at SBU, prototyping and detector design by our collaborators at the Weizmann Institute and at BNL.

### NSF Support for Upgrade of PHENIX at RHIC (cont.)

- Three institutions plus the University of Tokyo will build the detector. Weizmann Institute will build the mechanics and procure the GEM planes, evaporation of the CsI and assembly of the detector will be done at SBU, and integration, testing and monitoring will be done at BNL. The work at SBU and BNL will be done collaboratively by people from BNL and SBU, assisted by our collaborators from Israel and Japan.

### Neuroimaging Program

- Two proposals, one to HHMI, the other to the Coulter Foundation is to create a world-class Bioimaging Institute on Long Island, by merging the unique research facilities and scientific expertise of BNL with the power of SBU in education and in basic and translational research.
- Bioimaging Institute synthesizes the full spectrum of physical resources and intellectual capital available at both institutions to meet challenges in imaging from the high-resolution structure of complex biomolecules to the intricate real-time function of the human brain.
- Bridging the BNL and SBU campuses, the Institute will forge the frontier of bioimaging science to discover, develop, translate, validate and commercialize technologies that will lead to new diagnostics, therapeutics, and medical devices.
- The initiative is intended to build on that tradition of excellence to define opportunities in biomedicine and lead the world in pioneering bioscience in the new millennium.

# MEASURE 3.1.1 Strategic Partnerships (cont.)

## **Summary of Performance Measure**

*BSA will endeavor to establish partnerships or programs that result in sponsorship or enhanced financing from non-DOE entities to support research programs.*

## **Specific Status of Metric**

### Neuroimaging Program (cont.)

Both BNL and SBU are recognized as world leaders in the formulation and application of bioimaging modalities, including Magnetic Resonance Imaging (MRI), Positron Emission Tomography (PET), Micro-Computed Tomography (mCT), and the imaging capacity of the National Synchrotron Light Source (NSLS).

- The initiative is intended to build on that tradition of excellence to define opportunities in biomedicine and lead the world in pioneering bioscience in the new millennium.
- Two joint appointments have been pledged in the proposal and faculty/scientists recruited will be committed to translational research, with a proven track-record in interdisciplinary programs, and that could represent the spectra of disciplines involved in imaging, including physics, math & computational sciences, engineering, biology/biomedicine, and chemistry.
- SBU submitted the proposal to the Coulter Foundation translational research partnerships program on June 1, 2005; this proposal also includes two faculty lines to be shared by the SBU BME Department and BNL. The proposal has made it through the full proposal stage, and we will be site-visited on July 21-22, 2005.

### Neuroimaging Program (cont.)

•The two institutions have agreed to make approximately six joint appointments in order to build the center activity to a point that it can hope to garner NIH center of excellence status. Since these carry tenure of tenure-track status at SBU this is a significant long-term obligation and commitment.

### Nanotechnology Alliance targeted on building external partnerships in nanomaterials:

- Battelle has sponsored the development of the Battelle Nanotechnology Alliance - a cross DOE lab effort to develop a portfolio of innovations/capabilities toward sustained industry/government partnerships in nanoscience and nanotechnology.
- Examples of progress with BNL include: the start of 2 CRADAs with Battelle, one in fuel cells and the other in carbon nanotube synthesis; targeting areas of interest for the USAF (electronic coatings), Boeing (conductive nanomaterials/coatings) and the Bill Gates Foundation (advanced imaging technology for cancer studies)
- Development of white papers with DARPA and commercial interests with a goal of \$5M in BV in FY06.

# MEASURE 3.1.1 Strategic Partnerships (cont.)

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## **Summary of Performance Measure**

*BSA will endeavor to establish partnerships or programs that result in sponsorship or enhanced financing from non-DOE entities to support research programs.*

## **Specific Status of Metric**

### State Energy Partnerships

- Battelle has developed a partnership between ORNL and BNL to pursue state energy partnerships in energy R&D.
- Initial efforts are focused on the New York State Energy Research and Development Administration (NYSERDA) program, with the goal of developing both near term projects and a longer term R&D partnership to augment the application of the technology base developed for and by DOE.
- This effort builds on the complementary skills of ORNL and BNL in energy conversion programs. The second phase will target the California Energy Commission, the other major state energy program.

# MEASURE 3.1.2 Laboratory Leadership

## Summary of Performance Measure

*BSA will demonstrate active corporate involvement in seven defined activities.*

### Specific Status of Metric

#### 1. Corporate management assessments

- BSA has conducted a peer review of the procurement systems at BNL and developed a critique of critical issues and an plan of action for correcting deficiencies in time for the PERT review of September, 2005.
- BSA has conducted a review of BNL safety performance and critical actions required to improve overall safety performance.

#### 2. Facilitate exchange of ideas and practices

- BNL has participated in three sessions of the Battelle Laboratory Operations Council, a joint effort with ORNL, PNNL, NREL and BCL to compare approaches to performance improvement.
- Two key topics transferred to BNL have been the Battelle corporate assurance process framework (from PNNL) and the Battelle Safety Leadership program framework. The latter has resulted in the adoption of the Dupont STOP program and the Safety leadership training for the BNL Policy Council in the 3rd quarter.

#### 2. Facilitate exchange of ideas and practices (cont.)

- Through the efforts and contacts of the Office of Governmental Relations and Stony Brook University Provost, Robert McGrath, meetings were secured in the office of Governor Pataki, Assemblywoman Patricia Acampora, and Senator Kenneth LaValle to discuss the ending of the contract for low-cost New York Power Authority (NYPA) electrical energy to Brookhaven National Laboratory (BNL). These talks began prior to the end of the contract, alerting these officials to the importance of the science conducted at BNL and the economic impact the Lab has on the region and the State. The result was another 3-year contract with NYPA, assuring continuity in the research. It was also an opportunity for BNL to remind the State officials of its importance to New York.
- Lobbying efforts for RSVP began more than three years ago when it was apparent that NSF was going to “skip over” this project in favor of less highly rated projects. The consortium partners across the nation gathered via phone conference and during AAU meetings to develop a strategy to secure this funding. Congressman Walsh was instrumental in seeing that it was included in the MRE account.

## Performance Metric

Outstanding	All 7 items determined acceptable
Excellent	6 of the 7 items determined acceptable
Good	5 of the 7 items determined acceptable
Marginal	4 of the 7 items determined acceptable
Unsatisfactory	3 or less of the 7 items determined acceptable

# MEASURE 3.1.2 Laboratory Leadership (cont.)

## **Summary of Performance Measure**

*BSA will demonstrate active corporate involvement in seven defined activities.*

## **Specific Status of Metric (cont.)**

### 2. Facilitate exchange of ideas and practices (cont.)

•It appears that the funding is once again in jeopardy, but governmental relations representatives and scientists are continuing high level frequent conversations and meetings to try to save this project.

### 3. Involvement in scientific programs to enhance BNL prestige:

•Battelle's Nanotechnology Alliance sponsored a delegation to Tsingtau University and the Chinese Academy of Science in conjunction with the participation by the Alliance in a special session of the Beijing Nanotechnology Conference.

•BNL participated with a focused presentation on electronic and energy nano-materials. The Alliance papers were well received and discussions on collaborative research with the Chinese Nanomaterials Institute were initiated.

### 4. Develop a strategic hiring plan

•Battelle developed a candidate pool for the CFO position at BNL as part of the Battelle complex-wide succession planning process. Candidates from three labs were identified for the BNL search committee's consideration.

### 5. Provide proven management systems

•Battelle has provided BNL with an Automated Tracking System for critical action plan tracking.

•Battelle conducted a pilot effort at safety performance training for lab leadership as part of the safety performance improvement plans.

### 5. Provide proven management systems (cont.)

•The safety performance training was piloted by Battelle Corporate ESH&Q in Columbus and transported to BNL for Policy Council training

### 6. BSA Partners financial commitment to BNL

•The BSA partners continue to commit 45% of all fees received to laboratory initiatives to enhance lab viability and performance. Specific initiatives include:

- BSA Goldhaber Fellowships
- BSA Distinguished Scientist Fund to attract and retain leadership class scientists
- Staff development and retention funding
- Conference support
- Community support for science education
- Staff fitness and wellness plans
- The joint appointments offered by SBU represent a financial commitment of over \$300,000 annually in salaries for the course of each faculty member's career as well as start up costs for each appointee. The above mentioned grant and matching funds provided by Stony Brook to BNL for joint proposals.
- The personnel time/costs of lobbying efforts in the state and federal legislation.

# MEASURE 3.1.2 Laboratory Leadership (cont.)

## **Summary of Performance Measure**

*BSA will demonstrate active corporate involvement in seven defined activities.*

## **Specific Status of Metric (cont.)**

7. Demonstrate BSA partners' leadership in resolving challenges for the Laboratory

- The BSA partners initiated a BNL Performance Improvement Task Force comprised of experts from Battelle and Stony Brook as well as BNL senior management.
- The task group has developed a Lab Performance Improvement Agenda mapping 14 key performance issues to corrective action plans for these issues.
- The BSA Task Force is overseeing the development and implementation of the corrective action plan for the lab, with a goal of recognizable performance improvement by the end of CY06.
- The Vice President for BNL Affairs and Provost of SBU led a campaign among the BSA universities to lobby the Senate for the restoration of federal funds to BNL. Columbia, Harvard and MIT have joined SBU's lobbying efforts by contacting their own representatives for the restoration of BNL funding.

7. Demonstrate BSA partners' leadership in resolving challenges for the Laboratory (cont.)

- Dr. Shirley Strum Kenny used her contacts in NYC to set-up a meeting with the Queensboro President Helen Marshall on very short notice to address the rail car shipment issue. The meeting took place on July 13 in the office of President Marshall where representatives from BSA (Dr. Shirley Strum Kenny, Dr. Robert McGrath), BNL (Dr. Praveen Chaudhari , Les Hill), NY&AR, LIRR, the NYC Legal Office, Queensboro environmental regulations, met with President Marshall. Because of the meeting, a timely resolution of the impasse was possible and rail car shipments were able to resume on July 22

# MEASURE 3.1.3 Diversity

## Summary of Performance Measure

*BSA will strive for Best Practices in managing diversity programs linked to recruitment and diversity educational awareness activities.*

## Specific Status of Metric

- Suggested changes to draft Diversity (DV) Engagement Practices checklist were completed. Checklist will be reviewed by Level I Managers at Policy Council this quarter. (Measure #1)
- Timeline has been established for completion of recommendations outlined in 2001 Hewitt Diversity Emphasis Study. Specifically, define and communicate role for DV and its involvement in HR processes by September 2005 and develop tool to address diversity management accountability of Lab Managers and link to performance appraisal process by July 2005. (Measure # 2)
- Phase II of Diversity Educational Awareness Training pilot program for BES employees is under way. Training for Religious Awareness occurred on May 25, 2005. Three remaining diversity education awareness topics will be presented on July 20, September 21 and October 19, 2005. (Measure #5)

## Performance Metric

Outstanding	5 of 5 performance elements being implemented
Excellent	# 1 and 3 of remaining performance elements being implemented
Good	#1 and 2 of remaining performance elements being implemented
Marginal	2 of 5 performance elements being implemented
Unsatisfactory	1 or less performance elements being implemented

## BHSO Partnership Items

- The schedule of the BSA's HR management system steward, Bill Hempfling, and BHSO's HR contact, Bob Gordon, would not permit solicitation of feedback in time for submission of this summary. Diversity Manager, Shirley Kendall, confirmed the Outstanding projection for the contract performance measure on Diversity with BHSO's performance measure owner, Pat Palladino.

## Objectives for Next Quarter

- Draft Section II of Diversity Engagement Practices profile and seek review by Diversity Management Steering Committee. (Measure #1)
- Meet with Affinity Group leaders to seek feedback on Diversity Services. (Measure #5)
- Brief at least two departments on the status of Diversity at monthly staff meeting. (Measure #2)

## Issues

- None

# MEASURE 3.2.1 Phase IV of Benchmarking Study

## Summary of Performance Measure

*Implement FY 2005 activities in accordance with the Implementation Plan (2004) resulting from Hackett Benchmarking study.*

## Specific Status of Metric

- eProcurement - Plan approved; business rules for eProcurement have been established and a draft of first eProcurement contract is in process.
- WEB Based RFQs & RFPs - PPM has developed and implemented an electronic RFQ template that can be emailed to designated potential suppliers.
- Utilizing a dashboard - The ALD for Finance continues to provide/improve monthly financial updates to the Policy and Admin councils.
- Refine budgeting and forecast process - At monthly meetings with Administrative Managers and the ALD for Finance the importance of Peoplesoft Cost plans was emphasized resulting in improved FY05 projections.
- Science Operation Matrix - At the monthly Science Council meetings the ALDs and Chairs report the status and progress of their programs.
- eSettlement - Completed successful eSettlement testing with one vendor.

## Performance Metric

Percentage of recommendations being addressed

Outstanding	100%
Excellent	>80%
Good	>70%
Marginal	>50%
Unsatisfactory	<50%

## BHSO Partnership Items

- The ALD for Finance conducts weekly meetings with BHSO which is used to exchange ideas on any current issues.
- The ALD for Finance participates in three weekly meetings between senior Laboratory management and the senior DOE BHSO management to communicate current events and issues.
- Bimonthly financial status meetings are held with BHSO. They are interactive and BHSO feedback is noted and addressed.
- BSA is continuing to progress in addressing the results of the Implementation Plan.

## Objectives for Next Quarter

- eProcurement – Initial two vendors should be live by fiscal year end.
- eSettlement – Expect to expand Evaluated Receipt to additional vendors. Plan to begin work on Vendor Self-Service feature.

## Issues

- None

# MEASURE 3.2.2 Cyber Security

## Summary of Performance Measure

*Track performance through the DOE Cyber Security Review, Information Technology Division (ITD) development of corrective action plan, and ITD progress towards meeting corrective action plan FY 2005 milestones.*

## Specific Status of Metric

- Findings resulting from the DOE Office of Independent Oversight review of BNL's unclassified & classified programs were reported in 3rd Quarter Plan of Action Milestones Report.
- The BNL Corrective Action Plan outlining major milestones for the classified and unclassified cyber security programs was approved by the DOE Office of Independent and Oversight.
- Contract with System1, Inc. was finalized April 15, 2005 to begin restructuring of BNL's C&A packet.
- When BNL and BHSO reached agreement regarding which findings constitute "Significant Weakness" the expected year-end rating will track to "Good."

## Performance Metric

Outstanding	'Effective' rating; Corrective action plan developed, if required.
Excellent	'Needs Improvement' rating; 95% of FY05 milestones completed.
Good	'Significant Weakness' rating; Corrective actions to address significant weakness completed in FY05
Marginal	'Significant Weakness' rating; Corrective actions to address significant weakness not completed in FY 05.
Unsatisfactory	'Significant Weakness' rating; Corrective actions to address significant weaknesses not developed.

## BHSO Partnership Items

- BHSO agrees that the Management System Assessment remain rated as Yellow.
- At the request of BHSO the Chicago Service Center Safeguards and Security Cyber Expert performed an assessment of the entire BNL Corrective Action Plan status (including actions for BNL, BHSO and SC). This assessment found that as of June 10, 2005 there were 17 action items closed, three findings that were closed (BNL-CS-011, BNL CS-012 and CH-CS-002) and one item that is overdue and has been assigned a revised completion date. There were four items that could be closed, except for the formal approval of revised policies and procedures. All other items are on schedule for completion.

## Objectives for Next Quarter

- Complete the remaining 15 corrective actions for the unclassified cyber security program, and the single remaining corrective action for the classified cyber security program.

## Issues

- Even though implementation of minimum baseline security configurations on BNL computers is a FY06 corrective action milestone, it might impact the FY05 C&A corrective action.
- By not implementing these configurations there is a risk that a control process may not be identified and BNL will be unable to inform DAA of this risk.
- BNL and BHSO still have not reached agreement regarding which findings constitute "Significant Weakness".

# MEASURE 3.2.3 Procurement Operations

## **Summary of Performance Measure**

*This measure tracks the progress towards the development of the Acquisition Management System Improvement Plan, Phase II, which will include performance measures for monitoring sustained improvement. Implementation of the Plan would be expected to ensue immediately upon completion and acceptance by DOE of the Plan*

## **Specific Status of Metric**

- Initial draft of the Plan has been submitted to DOE for review and comment.
- Work is progressing on several key elements of the Plan; however, success is dependent on availability of necessary resources.

## **Performance Metric**

Outstanding	DOE accepts Plan by Sept. 30, 2005 and implementation of some key actions occurred in FY 2005
Excellent	DOE accepts Plan by Sept. 30, 2005, implementation of key actions to begin in FY 2006
Good	Plan accepted by BSA management by Sept 30, 2005
Marginal	Plan submitted to BSA management, approval not obtained by Sept 30, 2005
Unsatisfactory	Plan not submitted to BSA management by Sept 30, 2005

## **BHSO Partnership Items**

- BHSO has received the initial Plan draft and indicated satisfaction with progress to this point.
- BHSO is concerned that staffing limitations may delay meeting key objectives and impact the PERT compliance review to be conducted in FY06.
- BHSO and PPM agreed to FY06 performance measures.
- Bi-weekly meetings between PPM & BHSO continue.

## **Objectives for Next Quarter**

- Finalize Plan and obtain approval
- Implement first two E-Pro catalogs
- Update Procurement Operations Manual and continue documentation of work instructions
- The PPM manager and DOE Contracting Officer will participate in PERT reviews at two DOE facilities
- Submit PERT preparation report to BHSO
- Submit draft FY06 Balanced ScoreCard Plan to BHSO

## **Issues**

- Immediate senior staff openings must be filled timely by well qualified candidates to meet performance objectives and maintain system compliance.

# MEASURE 3.3.1 Management System Assessment Planning

## Summary of Performance Measure

*Complete formal consensus based user/peer reviewer Maturity Determinations or comprehensive Independent Assessments for six management systems.*

## Specific Status of Metric

- Had preliminary meetings with Stewards and POCs of the six management systems and selected teams and preliminary schedules.
- Stewards and POCs began preparation of Maturity Determination documentation for team review and presentation.

## Performance Metric

Outstanding	6 of 6 completed by September 30, 2005
Excellent	5 of 6 completed by September 30, 2005
Good	4 of 6 completed by September 30, 2005
Marginal	3 of 6 completed by September 30, 2005
Unsatisfactory	Two or less completed by September 30, 2005

## BHSO Partnership Items

- This measure does not have any quarterly milestones for us to comment on. However, BSA appears to be on track for completion of the measure's requirements at the end of the fiscal year.

## Objectives for Next Quarter

- Prepare Maturity Determination documentation for Team review in July.
- Conduct Maturity Determinations in August.
- Prepare Maturity Determination Reports for each management system in September.

## Issues

- Although systems are scheduled, the time to complete is tight.

# MEASURE 3.3.2 Third Party Assessment of Program

## **Summary of Performance Measure**

*Modify the evaluation protocol and using a Third-Party Team, evaluate the management systems planning and assessment activities.*

## **Specific Status of Metric**

- Third Party Team initiated the first phase of the evaluation and looked at the approach and deployment of the management system self assessment processes.
- The following management systems were reviewed: Human Resources, Information Resource Management, SBMS, Integrated Assessment Program, and Work Planning and Control.
- The Phase 1 evaluation of S&T Program Management and Work for Others Management Systems will begin in early July.

## **Performance Metric**

As determined by the criteria and Third Party evaluation.

*Excellent*

## **BHSO Partnership Items**

- This measure does not have any quarterly milestones for us to comment on. However, BSA appears to be on track for completion of the measure's requirements at the end of the fiscal year.

## **Objectives for Next Quarter**

- Complete the first phase of the evaluation of the approach and deployment in early July and have a de-briefing July 20<sup>th</sup>.
- Conduct the second phase evaluation of the results the week of August 15<sup>th</sup> and have a de-briefing on August 19<sup>th</sup>.
- Prepare and deliver the final report to BNL and DOE by the second week of September.

## **Issues**

- None

# MEASURE 3.4.1.1 Days Away, Restricted, or Transferred Rate

## Summary of Performance Measure

*BSA will track progress through improvement in the Days Away, Restricted, or Transferred (DART) rate.*

## Specific Status of Metric

- BNL worked the entire months of May and June without a DART and anticipates working one million hours without a DART by early July.
- Current fiscal year to date DART rate is 0.82 and is in the Marginal range.
- The DART rate will range between Marginal and Good by end of FY 2005.

## Performance Metric

Outstanding	BNL Dart $\leq 0.45$
Excellent	$> 0.45$ and $\leq 0.60$
Good	$> 0.60$ and $\leq 0.80$
Marginal	$> 0.80$ and $\leq 0.90$
Unsatisfactory	$> 0.90$

## BHSO Partnership Items

- Left blank per BHSO

## Objectives for Next Quarter

- Conduct Pilot Safety Leadership Workshop for Senior Mangers
- Conduct Accident Investigation Training
- ESH Standards will be converted to Subject Areas or updated to assure that the Laboratory has accurate guidance.
- OHSAS Phase II registration project - Onsite Readiness Review will be completed.

## Issues

- None

# MEASURE 3.4.1.2 Total Recordable Case Rate

## Summary of Performance Measure

*BSA will track progress through improvement in the Total Recordable Case (TRC) rate.*

## Specific Status of Metric

- BNL worked the month of June without a TRC.
- Current fiscal year to date TRC stands at 1.58 and is in the Marginal range.
- The TRC will range between Marginal and Good by end of FY 2005.

## Performance Metric

Outstanding	BNL TRC $\leq 1.05$
Excellent	$> 1.05$ and $\leq 1.25$
Good	$> 1.25$ and $\leq 1.55$
Marginal	$> 1.55$ and $\leq 1.85$
Unsatisfactory	$> 1.85$

## BHSO Partnership Items

- Left blank per BHSO

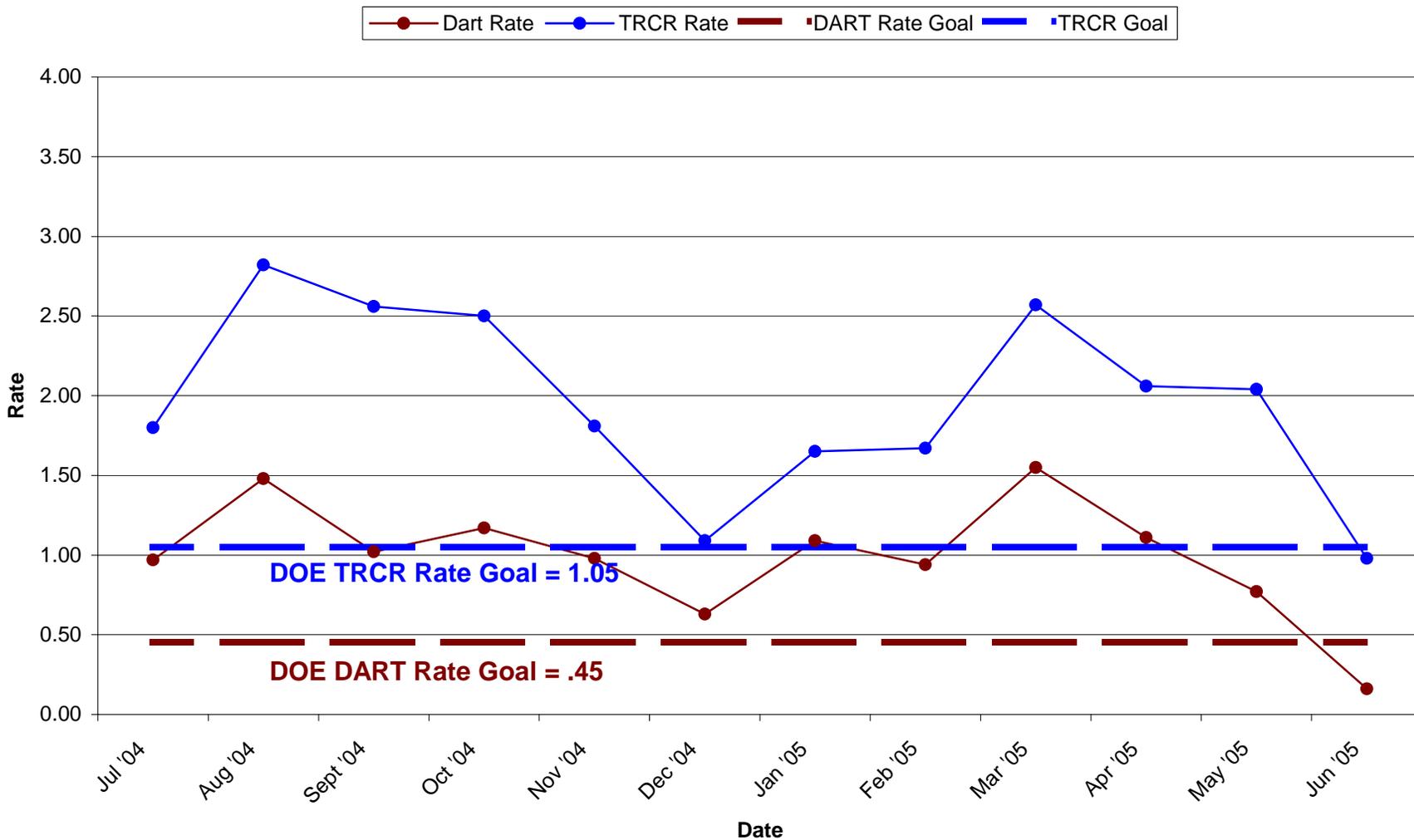
## Objectives for Next Quarter

- Conduct Pilot Safety Leadership Workshop for Senior Managers
- Conduct Accident Investigation Training
- ESH Standards will be converted to Subject Areas or updated to assure that the Laboratory has accurate guidance.
- OHSAS Phase II registration project - Onsite Readiness Review will be completed.

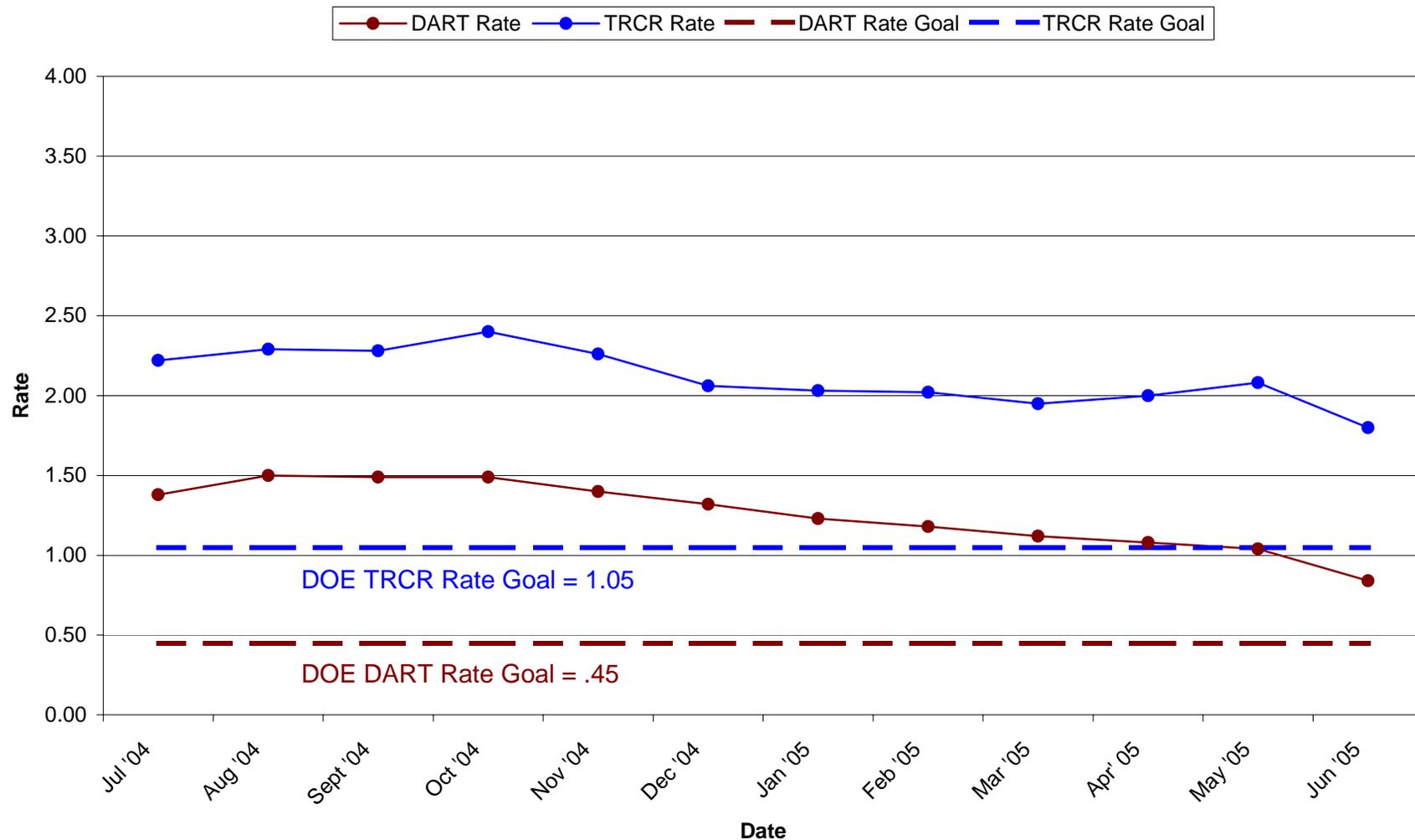
## Issues

- None

# Three Month Rolling Average



# Twelve Month Rolling Average



# MEASURE 3.5.1.1 Alternative Financing BNL Housing Reconstruction Project (HR)

## Summary of Performance Measure

*Proceed with the development process of the alternately financed Housing Reconstruction Project.*

## Specific Status of Metric

- BNL has delivered the "Housing Acquisition Strategy Document" to DOE-BHSO for final review and transmittal to DOE-HQ
- BNL continues to investigate other avenues for funding, while pursuing DOE approval.
- BNL submitted a performance measure baseline change to DOE-BHSO on 3/23/05 with DOE verbal concurrence.

## Performance Metric

Outstanding	Contractor/Developer selected*
Excellent	Issue RFP to Contractors/Developers*
Good	Issue RFP to PPM*
Marginal	Submittal of Acquisition Strategy to DOE for approval
Unsatisfactory	No further progress after September 30, 2004

\* Contingent upon receipt of DOE authorization to proceed no later than 12/15/04.

## BHSO Partnership Items

- BNL has not submitted to DOE the Final draft of the Acquisition Strategy for the BNL Housing Project. Based on the agreed criteria the rating will be MARGINAL.

## Objectives for Next Quarter

- Submit the "Housing Acquisition Strategy Document" to DOE-BHSO for final review.

## Issues

- Success toward Alternative Financing goals is dependent on DOE and Federal policy regarding leases for capital improvement and is outside the control of BNL.

# MEASURE 3.5.2 Project Management

## Summary of Performance Measure

*Manage construction and construction-like projects to ensure scope, schedule, and cost objectives are met.*

## Specific Status of Metric

- Actual 3rd Quarter score is .685 or "Marginal". This is primarily due to need to re-baseline CFN to reflect delay in receipt of CD-3 from DOE.
- With successful CFN re-bid, CFN Cost and Obligation profiles will be revised and performance will be substantially improved for 4th Quarter
- GPP program is progressing well although the B480 MBE project (now completed) missed its performance goals due to limited ability to define scope at project outset.

## Performance Metric

Outstanding	(PM) = 0.90 to 1.00
Excellent	= 0.80 to 0.89
Good	= 0.70 to 0.89
Marginal	= 0.60 to 0.69
Unsatisfactory	= Less than 0.60

## BHSO Partnership Items

### Objectives for Next Quarter

- Re-baseline CFN to address DOE directed change and impacts to project management performance measure.

### Issues

- Need to re-baseline CFN to reflect delay in receipt of CD-3 from DOE.

# MEASURE 3.5.3 Maintenance Investment Index (MII)

## Summary of Performance Measure

*This measure tracks operating expensed maintenance investment on active conventional facilities against DOE maintenance investment goals.*

## Specific Status of Metric

- Performance for 3rd quarter not available until ~7/20 per J. Dinicola. Anticipate "Outstanding" for year.

## BHSO Partnership Items

## Objectives for Next Quarter

## Issues

## Performance Metric

Outstanding	$MII \geq 1.7$
Excellent	$1.6 \geq MII < 1.7$
Good	$1.5 \geq MII < 1.6$
Marginal	$1.4 \geq MII < 1.5$
Unsatisfactory	$MII < 1.4$

# MEASURE 3.5.4 Energy Contract

## Summary of Performance Measure

*BSA will strive to obtain the lowest possible electric power rates for the Laboratory when it renews its electric power contract in FY 2005.*

## Specific Status of Metric

- Received letter agreement-in-principle in April 2005 - working on final contract language.
- Anticipate final net cost, considering all agreement factors, of about \$0.065/kwh - for "Outstanding " rating .
- Existing contract to be temporarily extended until new agreement takes effect.

## BHSO Partnership Items

## Objectives for Next Quarter

- Finalize energy contract for electrical power.
- Temporarily extend existing contract through September until new contract is in-place.

## Issues

- None

## Performance Metric

Rating	Unit Cost (\$/kWh)
Outstanding	< \$0.07
Excellent	≥ \$0.07 < \$0.085
Good	≥ \$0.085 < \$0.09
Marginal	≥ \$0.09 < \$0.10
Unsatisfactory	≥ \$0.10

# MEASURE 3.5.5 Infrastructure Reliability (RI)

## Summary of Performance Measure

*The measure tracks maintenance effectiveness using the Infrastructure Reliability Index (RI) and Electrical System Reliability (ESR).*

## Specific Status of Metric

- Calculations for Infrastructure Reliability are equal to .9997 for June 30th, 2005, corresponding to "Excellent."

## BHSO Partnership Items

## Objectives for Next Quarter

## Issues

- None

## Performance Metric

Outstanding	ESR = Greater than 0.9998
Excellent	ESR = Greater than 0.9996 to 0.9998
Good	ESR = Greater than 0.9994 to 0.9996
Marginal	ESR = Greater than 0.9990 to 0.9994
Unsatisfactory	ESR = Less than 0.9990

# MEASURE 3.6.1.1 Promoting Scientific Initiatives, Accomplishments...

## Summary of Performance Measure

*Promoting DOE and the Laboratory's scientific initiatives and accomplishments and operations priorities.*

## Specific Status of Metric

- RHIC: In collaboration with RHIC strategic team, developed press release and planned and executed press event at April 18th APS meeting announcing four white papers with focus on the "perfect fluid."
- RHIC: April 18th press event included widespread press coverage with DOE named in several prominent publications quoting Office of Science Director Ray Orbach. Over 600 articles were generated from this press announcement and event.
- CFN: In collaboration with CFN team planned and executed a site dedication on April 15th with special guests Office of Science Director Ray Orbach & Congressmen David Hobson and Tim Bishop.
- VIP Tours: Conducted tours for Congressman David Hobson, congressional staffers, Bio-tech 2005 Osaka delegation, NASA workshop participants and L.I. League of Women Voters.
- World Year of Physics: Developed a proposal and event outline and submitted it to DOE for a World Year of Physics event in Washington, D.C. to promote the DOE Office of Science.

## Performance Metric

*Outstanding*

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the objective 3.6. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

The program will be measured against the nationally recognized Baldrige Criteria for Approach, Deployment and Results.

## Specific Status Continued

- Bio-diesel Workshop: Partnered with EENS to conduct a workshop that included Congressman Bishop and Suffolk County legislative representatives. Participants represented a cross section of regional agencies and businesses.
- Safety: Focused communications on bicycle safety, electrical safety, and Charlie Morecraft talks on "Safety – Everyone's Responsibility." Provided counsel and support executing employee safety communications and activities.
- Community outreach planning and feedback: Outreach on environmental topics ongoing, including for Long Term Response Actions, the OU III Explanation of Significant Differences, the 5-year Review and the HFBR.

## BHSO Partnership Items

- BHSO has no comment at this time.

## Objectives for Next Quarter

- Execute plans for dynamic and interactive Summer Sunday activities to celebrate DOE's Office of Science and the World Year of Physics.
- Complete and execute plans for celebration event for Peconic River cleanup slated for September.
- Complete plan for EM celebration for the end of cleanup slated for October.
- Execute plans for Student Poster Session/Symposium slated for August 11. Congressman Bishop is expected to attend.
- Execute plans for Urban Dispersion event in NY City, August 6-26.
- Initiate execution of HFBR community outreach plan.

## Issues

- None

# MEASURE 3.6.1.2 Expanding Partnership Opportunities

## Summary of Performance Measure

*Expanding partnership opportunities with targeted educational institutions in New York City, Long Island, New York State, Historically Black Colleges and Universities, minority serving institutions, target agencies and professional societies.*

## Specific Status of Metric

- NYC Urban Dispersion Project: Worked with Urban Dispersion Project team to expand prior student activity to include a 3-week internship program for 40-50 students in the August release and sampling event.
- Hofstra Univ. Program: Completed sessions for university program to conduct hands-on activities for 200 middle and high school students at BNL. Press release issued noting Suffolk County contribution and quote from County Executive Steve Levy.
- DOE Regional Middle School Science Bowl: Conducted science bowl in support of DOE educational program mission. Sent student winners to DOE National Competition.

## Performance Metric

Outstanding

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the objective 3.6. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

The program will be measured against the nationally recognized Baldrige Criteria for Approach, Deployment and Results.

## Specific Status Continued..

- Workforce Development Program: Started the DOE sponsored program, expanding faculty and student teams from 5 to 10 teams this year. Received outstanding review from DOE-HQ for mid-year process review.
- New York State Collegiate Science and Technology Entry Program: OEP staff presented as the Plenary Speaker and in two break-out sessions at this conference for school administrators.
- Workforce Development and Science Education Committee: Established committee with first meeting scheduled for July 14th.

## BHSO Partnership Items

- BHSO has no comment at this time.

## Objectives for Next Quarter

- Execute plans for Urban Dispersion event in NY City, August 6-26.

## Issues

- None

# MEASURE 3.6.1.3 Internal Communications and Involvement

## Summary of Performance Measure

*Developing and implementing a policy, plan and process for internal communications and involvement.*

## Specific Status of Metric

- Finalized draft SBMS subject area/procedure for internal communications and involvement.
- Finalized draft lab-wide Internal Communications and Involvement Policy.
- In support of DOE/BHSO, planned and facilitated communications and brown-bag sessions on DOE's draft Workforce Restructuring Plan.
- Online employee opinion poll was developed and piloted. Assessing data collected to determine value of polling system.

## Performance Metric

*Excellent /  
Outstanding*

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the objective 3.6. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

The program will be measured against the nationally recognized Baldrige Criteria for Approach, Deployment and Results.

## BHSO Partnership Items

- BHSO has no comment at this time.

## Objectives for Next Quarter

## Issues

- None

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**Management System  
Stewards and Point of  
Contacts Program**

**Caroline Polish**

# Management System Performance

## Dashboard Conditions

### GREEN = MS is complete:

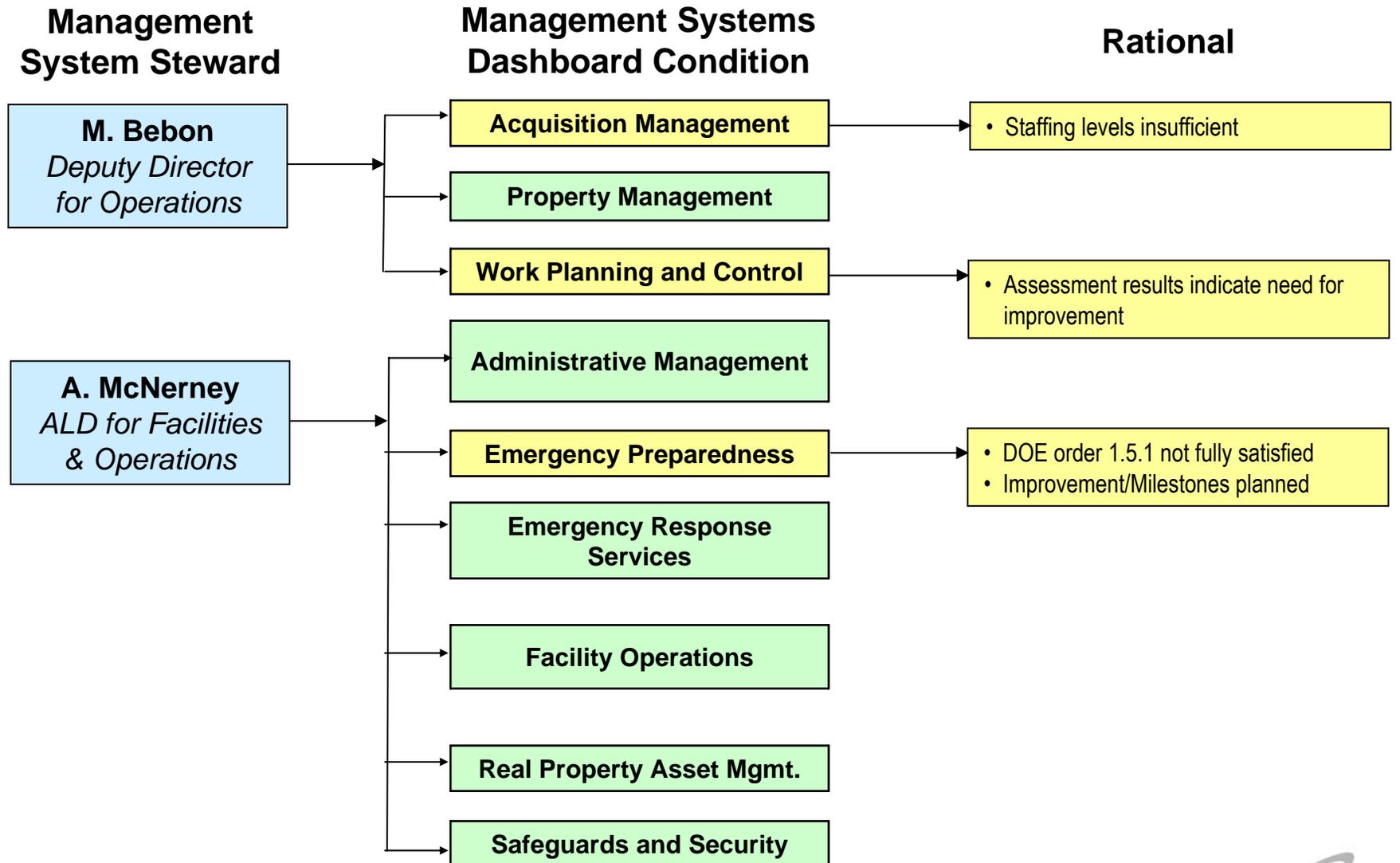
- Processes and procedures are adequately defined and implemented to protect the institution from significant risk
- Major milestones/planned improvements are achievable with current resources
- No impending requirements or conditions will represent significant institutional vulnerabilities
- Performance measure and/or assessments results indicate a well functioning, compliant system, with only minor improvements needed

### YELLOW = MS is somewhere between Red and Green:

- Definition and/or implementation of processes and procedures is less than adequate which may result in damage the laboratory's reputation, fines or significant loss in fee, or other recognized risk
- Major milestones/planned improvements have been/or will be missed however can be completed with current resources
- Impending requirements or conditions may result in significant institutional vulnerabilities
- Performance measure and/or assessments results indicate a need for specific improvements

### RED = MS is incomplete:

- Definition and/or implementation of processes and procedures are inadequate and will likely result in damage the laboratory's reputation, fines or significant loss in fee, or other recognized risk
- Major milestones/planned improvements have been/or will be missed and can not be completed with current resources
- Impending requirements or conditions will result in significant institutional vulnerabilities
- Performance measure and/or assessments results indicate systematic weaknesses and requires immediate management attention



### Management System Assessment

Yellow

#### Steward Assessment:

- Progress in achieving objectives is hindered because all available personnel are dealing with multiple conflicting priorities
- An external review team validated that staffing levels are insufficient. This is being addressed.

### Contract Measures

Excellent

#### Measure 3.2.3 Procurement Operations:

Green

### Risk Measures

#### The number of oversights of credit card activities conducted each month

- Monthly oversight is performed. No significant issues have been identified.
- Implementation of e-Pro will help to mitigate this risk factor by reducing credit card usage.

### Assessment Status/Results

- Procurement Readiness Review indicated resource limitations and need for increased visibility of support from outside organizations. These issues are currently being addressed
- BHSO validated the FY04 Balanced ScoreCard self-assessment results.
- PERT Compliance Review preparation self-assessment to be performed.
- FY05 Balanced ScoreCard self-assessment to be finalized.

### Accomplishments

- E-Pro is progressing with the finalization of the project plan and business rules.
- Revisions in the AMS documentation methodology based on a recommendation by the Procurement Readiness Review Team were submitted to BHSO & favorably received.
- 11 procedures are currently in final review. These will be converted to Standard Work Instructions when the documentation methodology revision is approved.
- PPM has contracted with a former DOE contracting officer to assess preparation for the FY06 PERT compliance review.

### BHSO Partnership Items

- BHSO has received the initial Plan draft and indicated satisfaction with progress to this point.
- BHSO is concerned that staffing limitations may delay meeting key objectives and impact the PERT compliance review to be conducted in FY06.
- BHSO and PPM agreed to FY06 performance measures.
- Bi-weekly meetings between PPM & BHSO continue.

### Objectives for Next Quarter

- Finalize Plan and obtain approval
- Implement first two E-Pro catalogs
- Update Procurement Operations Manual and continue documentation of work instructions
- The PPM manager and DOE Contracting Officer will participate in PERT reviews at two DOE facilities
- Submit PERT preparation report to BHSO
- Submit draft FY06 Balanced ScoreCard Plan to BHSO

### Issues

- Immediate senior staff openings must be filled timely by well qualified candidates to meet performance objectives and maintain system compliance.

### Management System Assessment

#### Steward Assessment:

Green

- System is compliant and functioning as intended with no major deficiencies noted.

#### Contract Measures

No contract measures are related to this management system.

### Risk Measures

#### Inventory Walk-Through – Issues Identified:

Green

- Two property walk-throughs conducted; no issues were identified.

### Assessment Status/Results

- Annual Precious Metals Inventory was conducted with all metals accounted for.
- DOE IG is conducting an audit survey of property management systems. No findings were noted during their two week on-site visit. Results pending conclusion of surveys at other SC facilities.
- Review of stored property in accordance with DOE-HQ directive is in progress with notifications sent to departments/divisions as required.

### Accomplishments

- Property Management Standard Operating Procedures were updated.

### BHSO Partnership Items

- Monthly meetings with BHSO indicate general satisfaction; no critical concerns or actions were identified.
- PPM and BHSO agreed to FY06 contract measures.

### Objectives for Next Quarter

- Complete Walk-through Inspections for FY05
- Continue follow up for stored property review -Report due to DOE/CH November FY06
- Submit draft Balanced ScoreCard Plan for FY06 to BHSO for approval.

### Issues

- Line management support on communication of the Property Management System requirements to staff

### Management System Assessment

Yellow

#### Steward Assessment:

- Site wide implementation of the Subject Area is inconsistent, subject to verification otherwise.
- There is not a clear and comprehensive program to train / qualify Work Control Managers and Work Control Coordinators.
- Planned improvements will be phased in over time, but not as rapidly as anticipated.

### Contract Measures

No contract measures are related to this management system.

### Risk Measure

Yellow

ORPS events whose root causes are linked to faulty or lack of work planning and control:

- There were two ORPS events this quarter and neither was rooted in work planning.
- Other ORPS events this fiscal year indicated poor work planning.

### Assessment Status/Results

- Issued quarterly questionnaire to the Work Control Managers. The results are shared with Work Control Managers at quarterly meetings and they are expected to adjust their programs accordingly.
- A 'white paper' review of the Work Planning and Control Subject Area was conducted in the third quarter and it contains four high level recommendations.
- Preliminary review of the assessment tools by four Work Control Managers and two Experimental Review Coordinators was performed and several changes were implemented.

### Accomplishments

- Work Planning and Control's involvement in OHSAS and, specifically, how Job Risk Analyses are used was defined in a flow chart which will be made a part of the Subject Area.
- A self assessment tool was created for review of work planning as well as experimental review and distributed to work control managers and experimental review coordinators.

### BHSO Partnership Items

### Objectives for Next Quarter

- Incorporate the JRA process into both operations and research work control process documentation.
- Enhance Work Permit utility through explanatory language on hazards, coordination and complexity.
- Establish core competencies for Work Control Managers and Coordinators and develop improved training tools.

### Issues

- There is no current acceptable training or qualification system for WCMs or WCCs.
- Both procedural and substantive elements of the Work Planning and Control Subject Area are inconsistently implemented.

Green

### Management System Assessment

#### Steward Assessment:

- Procedures and processes in the Administrative Support Management System are well defined and fully implemented. There is no significant risk to the Laboratory.
- Scheduled improvements are achievable with existing resources.
- There are no foreseen conditions or impending requirements that represent significant vulnerabilities to the Laboratory.
- Assessment results are positive and where possible improvements are made and corrective actions are taken.

#### Contract Measures

No contract measures are related to this management system.

#### Risk Measures

There are no direct risk measures monitored by this management system.

#### Assessment Status/Results

- Rotating suggestion/survey box program initiated in recreation areas. BERA trip surveys started.
- Food service customer survey completed with over 200 responses. Flik International has instituted an action plan to address response themes.
- Conference service customer satisfaction surveys distributed.
- Quarterly customer surveys for the public service station resulted in a 3.47 rating – excellent, for the 2nd quarter. This is a performance-based contract.
- Housing customer satisfaction surveys distributed.

### Accomplishments

- Laboratory "Visitor's Guide" created and published by QOL and Housing Office.
- Web site improvements in all functional areas.
- Recreational improvements to locker rooms, gym (wall mats, new backboards, safety padding, new curtains), tennis courts, ball fields.
- BNL Summer Camp – fully reserved with over 100 families participating.
- BNL's ESOL Program recognized by Literacy Suffolk.
- Interior cosmetic improvements made in all dormitories.
- Installed DSL service to thirty cottages.
- Food service contract - bid package completed and distributed to sixteen potential bidders.
- Danish House – interior renovation.
- Upgraded exterior lighting in residential areas.
- Updated Conference Reservation System and Fleet Maintenance System.
- Converted Fleming Dormitory from all male to all female to meet the changing demographics of our summer visitors.
- South Room renovation – installed LCD projector, wireless sound system, new carpet and draperies, manufactured A/V cabinet.

### BHSO Partnership Items

- No comment

### Objectives for Next Quarter

- Subject Area – Government Vehicles: has been submitted to SBMS and it is expected that it will be published in the next quarter.
- SPI 5-08 Laboratory Housing: Will be removed and redirected to the Housing On-Site Web Page.
- Housing reservations system will be upgraded to an improved Windows based system.
- Summarize and set corrective actions to our collective customer surveys.
- Food Service Contract – bid released and interested parties will submit their proposals for evaluation.
- Vehicle utilization report for FY 2005 will be completed for BHSO review.
- Vending survey to be completed.

### Issues

- Government vehicle utilization plan requires SUV's to report the number of trips made on other than normal road conditions. Target is 90% and this is doubtful that we will achieve this.
- Government vehicle utilization is currently at 93 %. Possibility exists that further vehicle reductions may take place during FY 2006.

## Management System Assessment

### Steward Assessment:

Yellow

- The Laboratory is in a stronger position with respect to emergency preparedness than it was one year ago.
- Though tremendous and successful progress has been made in bringing this Management System to maturity the requirements of DOE Order 151 have not been fully satisfied at this point.
- Major milestones/planned improvements have been made, however there are more improvements in work.

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

No risk measures are directly monitored under this management system.

### Assessment Status/Results

- During this quarter, BSA completed five corrective actions in the Emergency Management Improvement Project which were identified in response to the DOE OA assessment of the BNL Emergency Management Program. A total of 26 of the 30 corrective actions have now been completed.
- BHSO is scheduled to perform an assessment of the Emergency Medical Support element of the BNL Emergency Management Program in the 4th quarter of FY05.

### Accomplishments

- BSA has devoted significant amount of time & effort to develop and implement corrective actions in the Emergency Management Improvement Project which were identified in response to the DOE OA assessment of the BNL Emergency Management Program. Significant progress has been made as evidenced by the fact that a total of 26 of the 30 corrective actions have now been completed.
- was updated to clarify roles, responsibilities, and definitions, and to reflect more current operations within the BNL Emergency Planning/Preparedness activities.

### Accomplishments continued

- BSA has held workshops with and provided training to facility staff in specific Dept/Div regarding the preparation and maintenance of Emergency Preparedness Hazards Assessments. BSA has implemented several actions to incorporate the new requirements regarding EPHAs into existing BNL systems such as the FUA process, the ORE/ERE process, etc.

- The Emergency Preparedness Management System Description

### BHSO Partnership Items

- During the third quarter, BSA has continued to expend significant effort towards the completion of improvements to the Emergency Preparedness Program. While the necessary integration of these improvements into a working program remains, BHSO recognizes the management attention and support that has been provided for this effort.

### Objectives for Next Quarter

- BSA will continue to address the corrective actions in response to the DOE OA assessment of the BNL Emergency Management Program.
- The Annual Exercise will be performed in conjunction with DOE-HQ in the 4th quarter of FY05.
- BSA is scheduled to conduct at least six drills in the 4th quarter of FY05.

### Issues

- BSA is implementing a methodology for preparing Emergency Preparedness Hazards Assessments (EPHA) in accordance with DOE Order 151. The number of facilities at BNL requiring an EPHA and the data required to support the preparation of each assessment is much greater than originally anticipated. A significant amount of resources is needed to complete these assessments.
- DOE Order 151 is currently under revision. Proposed revisions are significant and will require more resources in order to comply.

### Management System Assessment

Green

#### Steward Assessment:

- Fire Rescue's response times are excellent.
- Fire Rescue responded to 182 calls from January 1, 2005 to June 28, 2005.
- Fire Rescue continues to actively participate in the Suffolk County Mutual Aid Agreement

#### Contract Measures

No contract measures are related to this management system.

#### Risk Measures

##### Fire Rescue Response to On-Site Alarms:

Green

- 94% of responses were made under 4 minutes from the time of notification for the 3rd quarter (for fire, emergency medical services, spills, hazardous materials & service calls).
- This set of parameters were taken from NFPA 1710, a recommended standard, which applies to responses to working fires

### Assessment Status/Results

- Continue drills and critiques

### Accomplishments

- A new radio system was placed into service to improve site wide radio communications and conform to the new FCC frequency requirements.
- Restored Fire Rescue staffing to 100% by the addition of 2 new Fire Fighters.
- Emergency Services has worked 1,481 days with out a DART case.

### BHSO Partnership Items

- Fire Rescue response times have been discussed in joint bi-weekly review sessions and have consistently shown to be very good.

### Objectives for Next Quarter

- Place new Self Contained Breathing Apparatus (SCBA) into service with training for Fire Rescue personnel.
- Install new front end (computers) to site fire alarm system.
- BNL's Telecommunications Committee will continue to work on a resolution to fire alarm communication quality problems between the Fire House and protection points.

### Issues

- The quality of fire alarm communications between protected building and Fire House is poor in some locations.

### Management System Assessment

Steward Assessment:

Green

- MS has just been revised and in draft. The process should be completed during the next quarter.
- Building Manager meetings are continuing on a monthly schedule with good participation

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

No direct risk measures are monitored under this management system.

### Assessment Status/Results

- None

### Accomplishments

- Management System description has been revised and comments have been returned on the draft.
- SPI No. 5-13 Building Manager Program will be eliminated. Pertinent facts and requirements have been added to the MS eliminating the need for the SPI.
- Initiated Maturity Determination process for MS

### BHSO Partnership Items

### Objectives for Next Quarter

- Complete Maturity Determination Process
- Publish finalized MS

### Issues

- The SBMS backlog is resulting in delays in the processing of FUA's

### Management System Assessment

#### Steward Assessment:

Green

- All measures but one (A1/A2 PM) are in the Excellent or Outstanding range therefore overall assessment is Green. Systems are relatively mature and well implemented.
- The A1/A2 Preventive Maintenance measure is Yellow primarily due to administrative reasons related to method of measure - not whether maintenance is actually done
- Project Management measure could go to Yellow if CFN rebid and baseline change issues are not resolved.

### Contract Measures

#### Measure 3.5.1.1 Alternative Financing (AF)

#### Measure 3.5.2 Project Management

#### Measure 3.5.3 Maintenance Investment Index

#### Measure 3.5.4 Energy Contract

#### Measure 3.5.5 Infrastructure Reliability

### Risk Measures

Red

#### Preventative Maintenance Accomplished – ES&H Categories A1 & A2:

- Current performance is at 61%. Improvements in place will return this measure to Green by year end. Construct of the measure needs to be changed to provide more meaningful data.
- Evaluating use of a measure that reports on the backlog at the end of each month, this approach will provide a more accurate indicator of the health of the PM's

#### 3.5.5 Infrastructure Reliability:

Green

- Performance on this measure should improve over the remainder of the fiscal year

### Assessment Status/Results

- Performed monthly project reviews and quarterly assessments of management system performance
- Planning assessment of Configuration control, Space management subject area, Engineering Design Subject Area
- Planning on-site maintenance management assessment of one small science department and one Division.

### Accomplishments

- Evaluated and implementing a plan to improve A1/A2 preventive maintenance activities.
- Kicked off effort in May, 2005 to prepare for EVMS certification by DOE-OECM.
- Reached tentative utility service agreement for electric power.

### BHSO Partnership Items

- Need J. Eng's input on this

### Objectives for Next Quarter

- Finalize energy contract for electrical power.
- Rebaseline CFN to address DOE directed change and impacts to project management performance measure.
- Complete planned management system improvement and assessment efforts.

### Issues

- Success toward Alternative Financing goals is dependent on DOE and Federal policy regarding leases for capital improvement and is outside the control of BNL.

### Management System Assessment

Green

#### Steward Assessment:

- SSD processes and planning documents (i.e., BNL Safeguards and Security Plan, Threat Statement and procedures) protect the institution from significant risk.
- ISSM implementation is nearing completion.

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

#### Security Incidents – Classified Matter:

Yellow

- There was one classified matter incidents. This incident did not result in loss or compromise of classified data.

#### Security Incidents – Nuclear Matter:

Green

- There were no nuclear matter incidents.

#### Security Incidents – Buildings Unlocked:

Yellow

- Forty-three unlocked buildings were identified by Security Police Officers during their rounds. The appropriate Building Managers have been notified and reminded of Lab Policy.

#### Security Incidents – Loss or Theft of Property:

Yellow

- There were three minor incidents of loss/theft of property. All incidents are under investigation.

#### Security Incidents – Alarm Failures:

Green

- There were no alarm failure incidents.

Green

#### DOE Vehicles Reported Stolen/Removed without Authorization:

- There were no incidents of DOE vehicles being stolen or removed without authorization.

#### Security Response Time:

Green

- Based on the results of drills and exercises security response time is satisfactory (5 minutes or less).

### Assessment Status/Results

- Assessment of Property Protection Areas - Fourth Quarter FY05
- Internal Audit and Oversight Office (IO) to conduct an Effectiveness Assessment of the Integrated Safeguards and Security Management (ISSM) Program - Fourth Quarter FY05
- A DOE Chicago Inspection of Safeguards and Security elements is scheduled for the Fourth Quarter FY05

### Accomplishments

- Updated the BNL Safeguards and Security Plan
- Updated the Safeguards and Security Management System
- There are two remaining items to implement the Integrated Safeguards and Security Management (ISSM) program, one of which is the IO assessment scheduled for the 4th Qtr

### BHSO Partnership Items

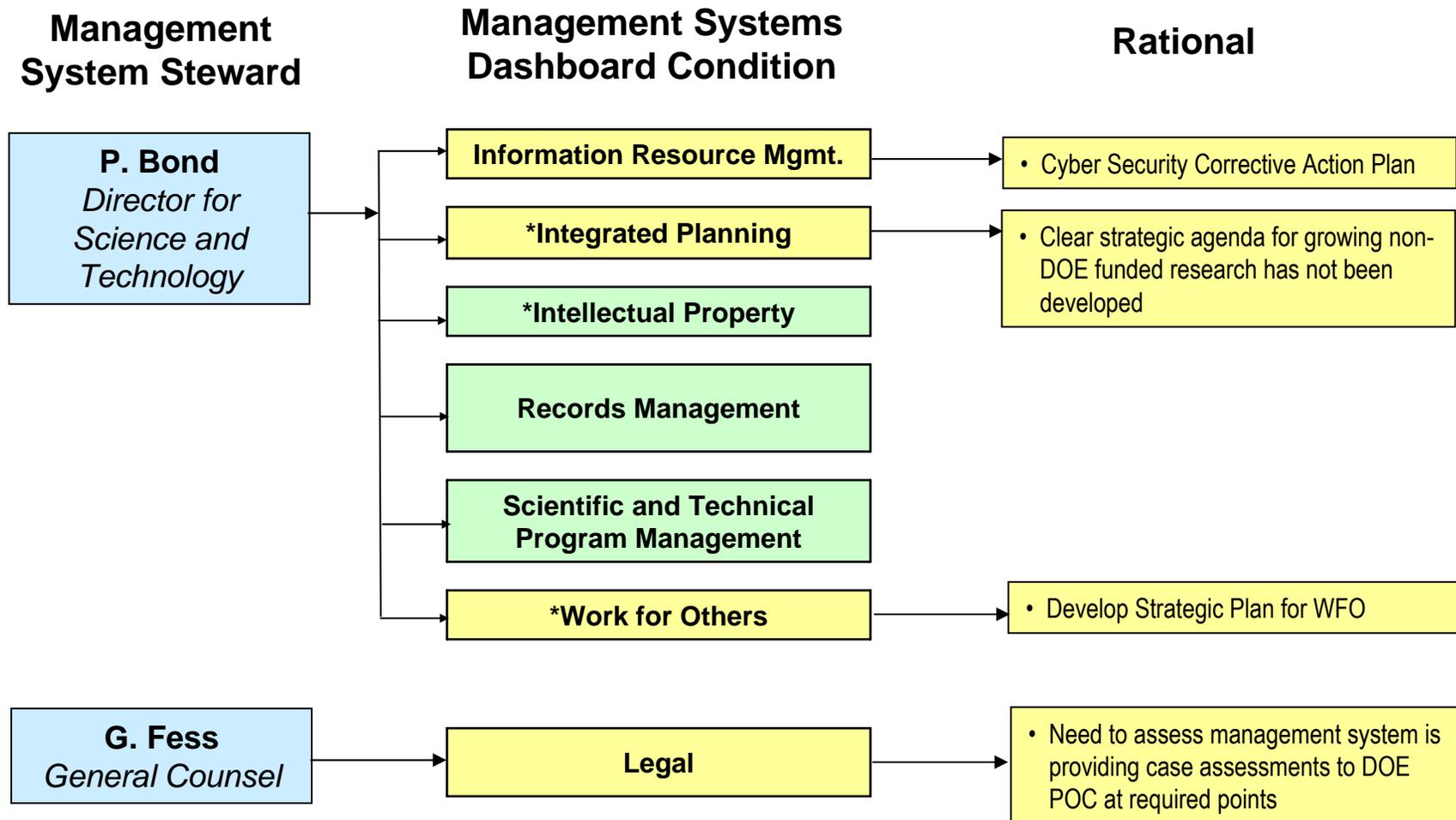
- As per the BHSO counterpart, no comments.

### Objectives for Next Quarter

- Develop and issue a Foreign Visits and Assignments Subject Area
- Develop and issue an Operations Security (OPSEC) Program Description
- Develop and issue an Operations Security (OPSEC) Subject Area

### Issues

- A procedure for recording telephone conversations in accordance with DOE Orders and guidance is needed.



\*Note: J. Patrick Looney, ALD for Policy and Strategic Planning, will be the Management System Steward for these Management Systems as of 7/1/05.

### Management System Assessment

#### Steward Assessment:

Yellow

- Cyber Security Corrective Action Plans - Yellow
- HSPD-12/PIV - Yellow
- Asset Management - Yellow

Marginal

### Contract Measures

#### Measure 3.2.2 Cyber Security:

### Risk Measures

Performance measures are being developed as corrective actions to address the findings of the DOE-OA Unclassified Cyber Security Program Assessment (11/04) findings.

### Assessment Status/Results

- Weekly project plan meetings show that the FY05 corrective action (milestones and end dates) outlined in the corrective action plan are on schedule.
- An oversight committee was established to monitor the status of the implementation of the corrective actions.

### Accomplishments

- As of June 30, 2005, the unclassified cyber security program has completed 4 of the 19 action items for FY05. The classified program has completed 12 of 13 action items for FY05.
- A request was submitted to BHSO to conduct an independent verification and validation of actions completed by June 23, 2005.

### BHSO Partnership Items

- BHSO agrees that the Management System Assessment remain rated as Yellow.
- At the request of BHSO the Chicago Service Center Safeguards and Security Cyber Expert performed an assessment of the entire BNL Corrective Action Plan status (including actions for BNL, BHSO and SC). This assessment found that as of June 10, 2005 there were 17 action items closed, three findings that were closed (BNL-CS-011, BNL CS-012 and CH-CS-002) and one item that is overdue and has been assigned a revised completion date. There were four items that could be closed, except for the formal approval of revised policies and procedures. All other items are on schedule for completion.

### Objectives for Next Quarter

- Complete the remaining 15 corrective actions for the unclassified cyber security program, and the single remaining corrective action for the classified cyber security program.

### Issues

- Even though implementation of minimum baseline security configurations on BNL computers is a FY06 corrective action milestone, it might impact the FY05 C&A corrective action.
- By not implementing these configurations there is a risk that a control process may not be identified and BNL will be unable to inform DAA of this risk.
- BNL and BHSO still have not reached agreement regarding which findings constitute "Significant Weakness".

### Management System Assessment

#### Stewards Assessment:

Yellow

- Pat Looney assumed full time responsibilities as the ALD for Policy and Strategic Planning. Institutional strategy risk "barrier analysis" is in progress.
- Draft 5-year Business and 10-Year Site Plans were provided to SC for comment. The mid-year program development and LDRD reviews were completed; LDRD selection is in progress.
- A clear strategic agenda for growing non-DOE funded research has not been developed which will likely impact evaluation of Critical Outcome measure 3.1.1, Strategic Partnerships

### Contract Measures

Measure 3.1.1 Strategic Partnerships

Measure 3.1.2 Laboratory Leadership

### Risk Measures

Risk measures are under development.

### Assessment Status/Results

- None

### Accomplishments

- BSA and BHSO negotiated contract measures for '06 according to new SC process for evaluating performance of Lab and contractor; rolled them out at Partner's Meeting.
- Presented Business Plan to DOE-SC; written rough draft submitted to SC for comments. Ten Year Site Plan submitted to DOE-SC.
- PD and LDRD mid-year review. FY06 LDRD selection process underway; Institutional High Risk Event and Barrier Analysis in progress; ADS scoring in progress.

### BHSO Partnership Items

#### Objectives for Next Quarter

- Finalize Contract Measures; Complete Business Plan as per SC's comments; Begin preparation of 10 Year Strategic Plan required by Prime Contract.
- Complete LDRD selection process. Review ADSs at the Consolidation Team Meetings; finalize CURL; perform S&T self-assessment.
- Define a strategic agenda for growth of non-DOE funded R&D.

### Issues

- None

### Management System Assessment

Steward Assessment: **Green**

- Self assessment results indicate a well functioning system with only minor improvements needed

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

Risk measures are under development.

### Assessment Status/Results

- Office of Intellectual Property and Sponsored Research Mid-Year Self-Assessment indicated IP program will meet projected FY05 goals.
- Final Self-Assessment for FY05 will be conducted at close of FY.

### Accomplishments

- Finalized major revision of IP Management System and gained approval for publication.

### Patent Application(s) Filed by BSA:

- Electrocatalyst for Oxygen Reduction with Reduced Oxidation and Dissolution

### Accomplishments (cont.)

#### U.S. Patent(s) Issued to BSA:

- 6,890,951 - Treatment of Addiction and Addiction-Related Behavior
- 6,895,151 - Ultrathin Optical Panel and a Method of Making an Ultrathin Optical Panel
- 6,899,433 - Split Image Optical Display
- 6,906,099 - Treatment of Addiction and Addiction-related Behavior Using a Composition of Topiramate

#### Licensing – License Agreements Put in Place:

- T7 Gene Expression System - Southern Biotechnology Associates, Inc.
- T7 Gene Expression System - Cytoskeleton, Inc.
- T7 Gene Expression System - Bioline USA, Inc.
- T7 Gene Expression System - Stressgen Bioreagents Limited Partnerships
- T7 Expression System - Cayman Chemical Company
- T7 Expression System - CytoLogic, Inc.
- T7 Expression System - Eisai Research Institute
- T7 Expression System - Lucigen Corporation
- T7 Expression System - Advanced Cell Technology, Inc.
- T7 Expression System - BioMarin Pharmaceuticals, Inc.
- T7 Expression System - Phoenix Pharmacologics, Inc.
- T7 Expression System - Aerovance, Inc.

### BHSO Partnership Items

- Intellectual Property program is managed well - progress being made on implementation of a nano-center model agreement.

### Objectives for Next Quarter

- Publish IP MS Description after major revision.

### Issues

- None

### Management System Assessment

Steward Assessment:

Green

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

There are no direct risk measures monitored by this management system.

### Assessment Status/Results

- None this Quarter

### Accomplishments

- Records Inventory Update completed by line organizations.
- Completed informal Make-or-Buy study for Records Storage.

### BHSO Partnership Items

### Objectives for Next Quarter

- Meet with line organization Records Reps to discuss process improvements.
- Contract for Records Storage (depends on results of competitive bid)

### Issues

### Management System Assessment

Steward Assessment: Green

- SBMS revision that also combines 3 S&T systems descriptions into 1
- CFN value engineered – re-bid result due July 14
- NSLS - II progressing toward CD-0

### Contract Measures

Construction & Operation of Research Facilities:  
Measure 1.5.1.3 CFN Construction

### Assessment Status/Results

- Many external reviews during the period - all positive. Also had S&T Steering Committee meeting.
- End of year S&T assessment in process with revised format.

### Accomplishments

- RHIC run was extremely successful; DOE SC business plan well received
- 2 PECASE award winners (Vaska, Xu), IEEE Accelerator S&T award (Roser)
- ALD for Life Sciences identified and offer made

### BHSO Partnership Items

- Concern from SC-1 relative to 2004 performance in 2 areas was received; CFN bids; RSVP future .
- Many positive reviews; good business plan basis.

### Objectives for Next Quarter

- Achieve CD-3 for CFN, achieve CD-0 for NSLS II, achieve CD-1 for EBIS
- Get commitment from ALD for Life Sciences

### Issues

- Congress has restored much of the funding that was reduced in the Presidential budget. We need to track it to make sure it remains in conference committee.
- Future of RSVP will be determined.

### Management System Assessment

#### Stewards Assessment:

Yellow

- Assessment results indicate a need for specific improvements.

#### Contract Measures

No contract measures are related to this management system.

#### Risk Measures

Risk measures are under development.

#### Assessment Status/Results

- Office of Intellectual Property and Sponsored Research Mid-Year FY05 self assessment indicated issues of work volume and timeliness.

#### Accomplishments

##### New Non-Federal Sponsor Projects

- Atomic Energy of Canada Limited - Review of AECL Work to Measure, Analyze and Predict Power Coefficient of Reactivity for the Maple 1 Initial Core
- Heat Wise, Inc. - Low Power Commercial Burner
- Research Foundation for Mental Hygiene, Inc.- Effect of Therapeutic Cocaine Vaccine on C-11 Cocaine Brain Distribution Measured with PET

##### Grant Applications Submitted

- NIH - An fMRI Study to Evaluate the Long Term Effects of Adolescent Tobacco Exposure
- NIH - Developing a Lifespan Pharmacotherapy for Methamphetamine and Inhalant Abuse
- NIH - Optical and fMRI Studies of Cocaine in the Rat Brain

### Accomplishments (Cont.)

#### Grant Applications Submitted (Cont.)

- NIH - Rodent Studies on the Rewarding Effects of Inhaled Toluene Vapors
- NASA - Cirrus-Climate Interactions in the Tropics – A Collaborative Effort between BNL and NASA GISS
- NIH - Cytokine Receptor Imaging Probes
- USAMR MC - Development of an Array based Radiation Assessment kit for DNA damage: A study on Human Breast Epithelial Cells Irradiated with X-Ray and HZE Charged Particles
- NIH - Neuroimaging and Behavioral Studies of Inhalant Abuse
- NIH - Integrated MicroPET/Microdialysis of Gene Expression
- NIH - NMDA Receptor Dynamics After Brain Injury
- DOD-AF - Reactor Products Program Support Project
- NASA - Investigation of Precipitation Systems Using Integrated A-Train Observations
- NIH - DNA Damage Clusters: Repair in Mammalian Cells
- NIH - The Structural Basis of Eukaryotic Replication Origin Licensing by Cryo-Em
- NIH - Development of a Prototype Simultaneous PET/MRI Scanner

Mission Accomplishment/Quality and Productivity of R&D

### BHSO Partnership Items

- Laboratory still lacking a cohesive and current strategic vision for WFO.

### Objectives for Next Quarter

- Begin discussions with BHSO re. DOE approval of new WFO model agreements
- Begin development of strategic plan for WFO's.

### Issues

- None

### Management System Assessment

#### Steward Assessment:

Yellow

- Need to assess whether management system is providing case assessments to DOE POC at the required points in the process.
- Need to see if ADR is being appropriately considered in a timely manner in every case.
- Need to see if copies of all necessary pleadings are being provided to DOE POC.

### Contract Measures

No contract measures are related to this management system.

### Assessment Status/Results

- None

### Accomplishments

- Osarczuk v. BNL. In a case pending since 1996, the court issued a decision denying the plaintiffs motion to certify a class action and granting the Lab's motion to dismiss the case

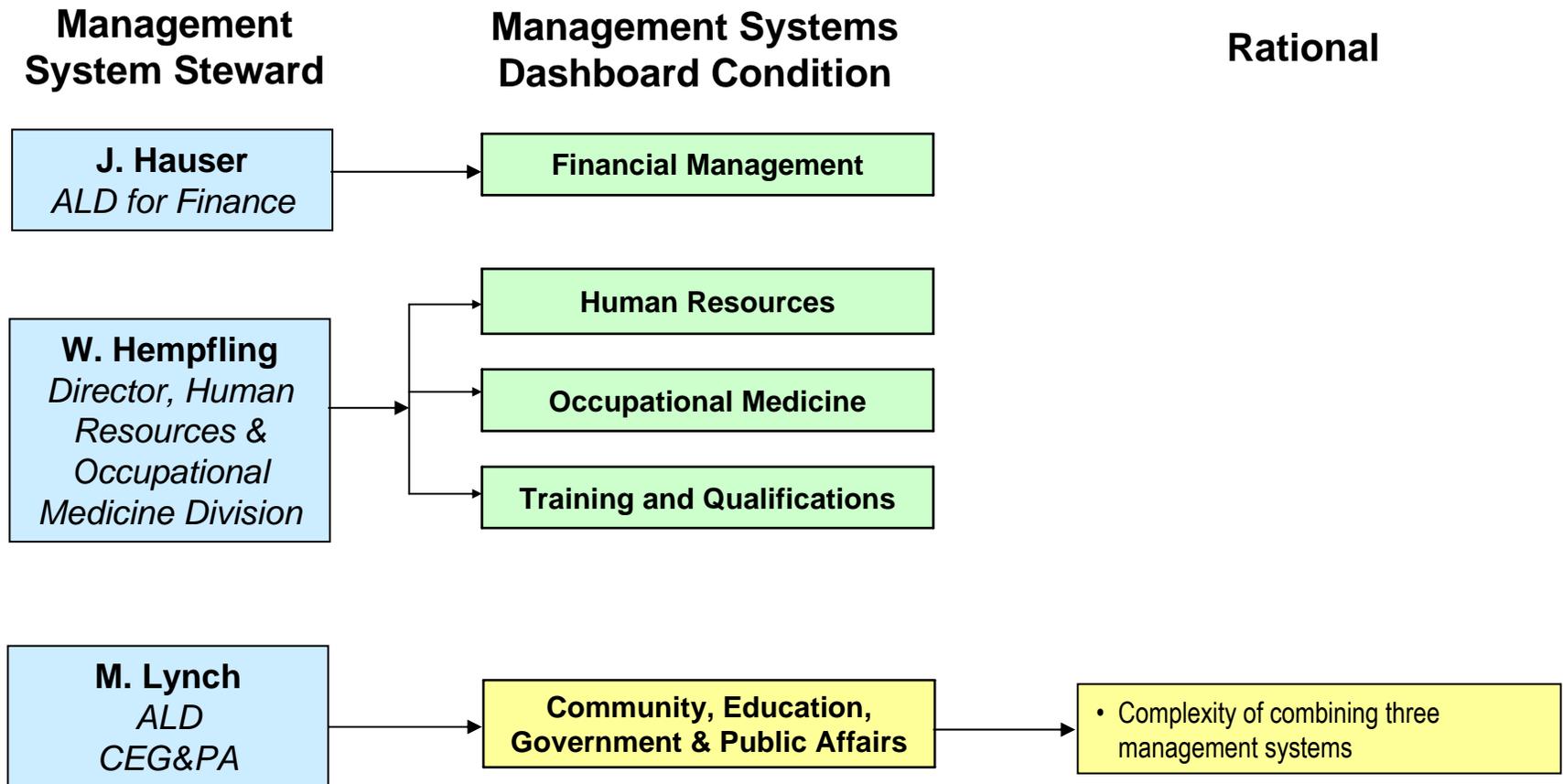
### BHSO Partnership Items

### Objectives for Next Quarter

- None

### Issues

- None



### Management System Assessment

Green

#### Steward Assessment:

- The financial systems are operating effectively to meet the needs of the Laboratory's day-to-day operations and the requirements of DOE.
- Received a clean, unqualified opinion from Price Waterhouse Coopers on Certified Financial Statement Audit for FY 2004.
- No material internal control weaknesses or questionable costs as reported in the most recent Internal Audits on Travel Module Review, Cash Vouchers FY 04, Payroll – FY 04 .

### Contract Measures

Measure 3.2.1 Phase IV of Benchmarking Study

Outstanding

### Risk Measures

Annual Report on Management Controls and Financial Management System – to be reported in 4th quarter.

Green

- Received the formal request from DOE on 6/15/05. Preparing a response for preliminary info due 7/8/05 and also preparing the formal response which is due 8/8/05.

Financial Management and Control" the budget including FWPs, Exhibit 300 and 53s, was submitted to DOE early, or on time. Budgets and spending are within congressional control levels.

Green

- Budget Submission to DOE was submitted about one week early including drafts of FWPs six weeks early.
- Chicago validation of BNL's Budget Submission will occur in the fourth quarter.
- Original 300s and 53s were submitted on time. Preparing response for requested revisions due on 7/1/05 and 7/15/05.

Annual Cost Accounting Standards Disclosure Statement – to be reported in 4th quarter

Green

- Changes to the disclosure statement are being compiled as they occur and the annual update will be submitted in the fourth quarter.

### Assessment Status/Results

#### Budget

- Chicago validation of Budget Submission is expected soon.

#### Fiscal

- Clean, unqualified opinion PWC Certified Financial Statement Audit received for FY 9/30/2004.
- Clean, unqualified opinion PWC Certified Financial Audit of the BSA/BNL Regular Retirement and 401K Plans for Calendar Year 12/31/03 received in FY2004
- Internal Audit – Travel Module Review (in draft) – no material internal control weaknesses; a programming weakness is in process of correction; \$101.00 of questionable costs in process of follow-up.
- Internal Audit – Allowable Costs – Transaction Testing – Cash Vouchers FY 2004 – no material internal control weaknesses; no questionable costs.
- Internal Audit – Allowable Costs – Transaction Testing – Payroll – FY 2004 – no material internal weaknesses; no questionable costs.
- DOE IG Audit of Property (Phase I) - Financial recording/capitalization aspects of the audit were satisfied. (Awaiting IG determination of need for next phase of audit).

#### BSD

- Other Audits – BSD participated in many of the internal and external audits that went on at BNL. We either were part of what was reviewed or, at the very least, provided data to the auditors.

### Accomplishments

#### Budget

- BNL has formally accepted the BNL PeopleSoft Budget System after identifying it as best in the DOE lab complex for their requirements.
- Submitted all Scientific FWP's electronically into ePME.
- Successfully completed all Contractor requirements for the DOE's STARS/SGL System implementation.
- Enhanced WFO reporting capabilities to DOE BHSO.

#### Fiscal

- Successfully completed all Contractor requirements for the DOE's STARS/SGL System implementation.
- Implementation of Electronic Time Reporting Module of PeopleSoft continues with appropriate multi-level training across Laboratory.
- With the JP Morgan Travel Card (with ATM capability) in full implementation, Fiscal eliminated the need for routine cash travel advances for BNL employees.
- Continued active participation in DOE's Financial Management Systems Improvement Council (FMSIC), fostering maximum partnering with DOE HQ and field office representatives in working financial issues.
- Completed conversion of old Domestic Travel SPI to SBMS Subject Area.
- Completed conversion of Petty Cash SPI to SBMS Subject Area.
- Completed updates of Foreign Travel SBMS Subject Area.

# Financial Management System

### BSD

#### PeopleSoft Financials

- eProcurement – Worked with PPM to develop a new method for dealing with the bulk of the Lab's commodity purchases. This module along with bulk purchasing agreements will make routine purchasing much easier for both the user and PPM. Initial two vendors should be live by fiscal year end.
- eSettlement – Implemented Evaluated Receipt feature for selected vendors to allow the system to create invoices from P/Os following receipt of material. Working to create Vendor Self-Service function that will allowed vendors to submit invoices and check payment status from a secure web site. The Vendor Self-Service feature is intended to be in place by the end of this calendar year.
- Travel System – Completed roll-out of new PeopleSoft Travel System. This was the last remaining major component of our legacy HP 3000 environment.
- Supported the DOE's rollout of I-MANAGE STARS – Along with Fiscal, we supported all of the required activities for the testing and eventual implementation of the DOE's new financial system. This also included support for the DOE's shortened month-end closing deadline.
- PeopleSoft Web Requisition – Developed and deployed new requisition system within the PeopleSoft environment. One of the key enhancements is the ability to attach required supporting documents directly to the Web Req.
- Automated Shipping Memo – Developed and implemented a workflow system within PeopleSoft to replace the paper Shipping Form. This is used for any material that needs to leave the BNL site.
- Accounts Receivable Billing Enhancements – Made improvements to provide Fiscal with tighter controls over the aging of Work-for-Others A/R balances. This removes a potential audit exposure.
- Email dispatch method for Purchase Orders – Utilized a feature of PeopleSoft to cut down the need to print and fax P/Os. The system can create P/Os in Adobe Acrobat format (including signatures) and these can be directly sent to vendors vial email. This is a much more efficient approach.
- Meeting with representatives of Japanese Consortium – The ERP Forum from Japan wanted to meet with organizations who have successfully implemented ERP systems (such as PeopleSoft) in America. We were recommended to them by PeopleSoft. We hosted an afternoon meeting with them and had an interesting exchange of ideas and experiences.

### Accomplishments (cont.)

#### PeopleSoft Human Resources

·Automated 108's – We have completed a workflow method within PeopleSoft for handling personnel action notices. This was previously done with a paper form and then the resulting changes were copied into the system.

·Electronic feed of medical information to CIGNA – Starting this year, we were required to send medical enrollment information to CIGNA electronically. CIGNA is our major benefits carrier. This was a difficult process due to complex data requirements, but it has now been completed. It is planned to next roll this process out to Vytra.

·Web-based Performance Appraisal – Moving the MS Word based Performance Appraisal forms to a web-based portion of PeopleSoft. The goal is to have this in place for the next performance cycle this fall.

·New Federal ID Card – We provided an early notification of BNL concerns related to a new common ID card and we have worked with the appropriate local people to determine requirements and develop an employee communications plan. We have also started to determine the potential impacts on the PeopleSoft HR system of this initiative.

·Grievance Tracking System – Replacing paper memo based process for handling union grievances with an existing component of PeopleSoft Human Resources. This should be in place by fiscal year end.

#### Non-PeopleSoft Systems

·Complete implementation of MAXIMO – The MAXIMO work order system for Plant Engineering has been completed and is fully operational. This replaced the previous MP2 software that had to be terminated due to disputes with the vendor over support.

·Guest Information System (GIS) – The GIS has been a major success for BNL in the processing and control over our many guests, contractors, and foreign employees. A broad range of improvements to this system continue to be made, including expiration reminders for visas, appointments, and 473s. In fact, the use of this technology recently in the NSLS Guest Coordinator to win the Environmental Stewardship Award.

# Financial Management System

### Accomplishments (cont.)

#### Non-PeopleSoft Systems

·New SBMS System – We worked with the Brookhaven's QA group to develop and implement the new Standards Based Management System (SBMS). The intention is for BSD to take over the support for this system later this year. The support for the prior system was from PNNL, which was less responsive (due to distance) and more costly than local support.

·Open to the Public Request System – Developed a web-based Open to the Public request and approval system utilizing work flow. This replaced a more casual manual process.

·Temporary Photo ID System – To enhance gate security, developed a temporary photo ID system for guest, contractors and employees and expanded it to include Medical department patients.

·Web Central Shops System – Developed a web front end for Central Shops work orders. The work orders feed the Global System Shops (GSS) system. This replaced a previous failed attempt by the vendor to provide this functionality.

#### Technical Services Projects

·QA Hardware Lab – Established a small facility to handle testing of web-based software on non-Windows platforms. This includes Apple and Linux equipment. The purpose of this lab is to allow us to open our applications up to a broader spectrum of users.

·Provide Training and Training Material – To handle the impact of major rollouts (i.e., Travel, Web Requisition, Electronic Time Reporting, Shipping Memo), we created training manuals/CBT/classroom training, and conducted user discussion meetings. This helped provide good user acceptance for these new systems.

### BHSO Partnership Items

- The ALD for Finance conducts weekly meetings with BHSO which is used to exchange ideas on any current issues.
- The ALD for Finance participates in three weekly meetings between senior Laboratory management and the senior DOE BHSO management to communicate current events and issues.
- Bimonthly financial status meetings are held with BHSO. They are interactive and BHSO feedback is noted and addressed.

### Objectives for Next Quarter

#### Budget

- Successful Chicago validation.
- Successful installation of PeopleSoft Budget Submission at LBNL.
- Update of Budget Manual on SBMS.
- Successful Year End closing.

#### Fiscal

- Timely and Accurate Payroll
- Timely and Accurate submission to STARS/SGL (formerly FIS/MARS)
- Maintain Accounts Receivable below 180 days
- Successful Year End closing.

### Objectives for Next Quarter

#### BSD

·As indicated above:

- BSD Advisory Committee – This year, we intend to establish a cross-functional committee to provide feedback on BSD's system development plans. Within each functional area, we are generally able to obtain prioritization from the system owners. However, it is hoped that a committee such as this can help with balancing priorities across functional areas so that BSD is working on those projects that have the highest perceived payback for Brookhaven.
- eProcurement – Initial two vendors should be live by fiscal year end.
- eSettlement – Expect to expand Evaluated Receipt to additional vendors. Plan to begin work on Vendor Self-Service feature.
- FY07 OMB 300 – Provided final submission of the FY07 OMB 300 form for Brookhaven's Contractor Administrative Systems. This is scheduled to be submitted in September to the Office of Management & Budget by the DOE.
- Electronic Time Reporting – Complete roll-out to all exempt employees.
- Automated 108's – This system should begin roll-out this quarter.
- Web-based Performance Appraisal – Work will continue on this. It is planned to have this feature in place for the next performance cycle this fall.
- New Federal ID Card – We should learn more about the federal government plans concerning this program this quarter.
- Grievance Tracking System – This should be in place by fiscal year end.
- Guest Information System (GIS) – Continue to work on requested modifications as prioritized by the working committee.
- Open to the Public Request System – This system should be implemented this quarter.

### Issues

#### Budget

- Based on Congressional direction, financial management of LDRD may be changing.
- Revised reporting requirements associated with the DOE STARS implementation.

#### BSD

- Aside from the normal risks of systems implementations, the OMB 300 process represents a budget risk for Brookhaven. Although we have achieved passing scores in previous years and the preliminary scoring by the DOE indicates that it should pass this year, the internal workings of the OMB are somewhat unpredictable. If they decide that labs should not be running their own financial systems (even though the DOE contractually requires us to do so), it could negatively impact BNL's budget.
- The overall requirements for the new Federal ID card have potentially strict requirements for background checks and computer access for employees and (maybe) guests. If this plan is fully implemented, it could have a negative impact on our ability to attract guests to our facility.

Management System Assessment

Green

Steward Assessment:

- All high risk items have been addressed.

Contract Measures

Measure 3.1.3 Diversity:

Risk Measures

Timely Reporting of Form 5500 – to be reported in the 4th quarter

- Form 5500 was submitted to IRS in October 2004

Timely Reporting of Summary Annual Report – to be reported in the 4th quarter

- Summary Annual Report was completed and distributed to participants in December 2004

Timely Reporting of Summary Plan Description – future report

- Revisions to Summary Plan Descriptions are not due during this fiscal year

Timely reporting of Coverage test for 401(a) and 401(k) – reported annually

- Nondiscrimination testing for retirement plans was completed in January 2005

Timely DOE approval on Total Compensation Plan: Annual (October); upon significant change in benefits – to be reported in 1st quarter FY06

- DOE approved BSA's salary increase plan of 5.0% for CY 2005 on January 10, 2005
- DOE approved BSA's stop-loss insurance coverage from Allianz for the Cigna and Vytra medical programs starting January 1, 2005.

Targeted Assessment: Annual Market Analysis – to be reported in 4th quarter

- BSA's market analysis, completed in November 2004, showed BNL salaries for R&D staff and higher managerial positions are considerably below the market. Annual salary plans are addressing this condition.

Review of employee relations issues – reporting by exception upon discovery of a significant issue

- No significant issues this quarter

Review of labor relations status – reporting by exception upon discovery of a significant issue

- No significant issues this quarter

Number of Human Rights Complaints

- The first Human Rights complaint in FY 2005 was filed during the third fiscal quarter, however it is not considered a serious issue because the grounds of the complaint have little merit.

Staff Development Courses: Personnel participation in Conflict Management, Facing the Tough Stuff, Intervention, Introduction to EEO, Affirmative Action and Diversity Management, Labor Relations Seminar, Salary Review Workshop, and Sexual Harassment

- The following courses were conducted this quarter: Conflict Management (15 participants), Intro to EEO, AA & Diversity Management (21 participants), Sexual Harassment (19 participants).

Assessment Status/Results

- OFCCP notified BNL that they do not plan to proceed further with their compliance evaluation of BNL. Their review resulted in no findings.
- BSA conducted a mid-year assessment at the request of DOE that shows BNL's more aggressive salary plans are slowly correcting the 'below-market' status.
- Analysis of feedback surveys from BES employees regarding value of Diversity Education Awareness program resulted in shortening the length of the training and providing a hand out of learning objectives. (Measure #5)

Accomplishments

- Completed solicitation for employee and public input on draft Workforce Restructuring Plan and submitted final proposed plan to DOE Headquarters.
- BSA's HROM Director and DOE's Director, Business Management Division conducted lunchtime 'brown-bag' session with employees to explain Workforce Restructuring.
- Created the HR Services group in the HROM Division, consisting of Employee Relations, Staff Development, and Employment.
- Merged the Training and Qualifications Office from the ESH&Q Directorate into the HR Services group of the HROM Division, side-by-side with the Staff Development Office.
- Revised Diversity Engagement Practices checklist based on input from Diversity Management Steering Committee. (Measure #1)
- Briefed BSA Board on June 3, 2005 and Management Council on June 7, 2005 regarding status of Diversity at Lab. (Measure #2)
- Commenced Phase II of BES Diversity Education Awareness program. (Measure #5)
- Partnered with HR and EENS Directorate to hire two Post Docs, the Lab's first African American spousal employment offer. (Measure #3)

### BHSO Partnership Items

- The schedule of the BSA's HR management system steward, Bill Hempfling, and BHSO's HR contact, Bob Gordon, would not permit solicitation of feedback in time for submission of this summary. Diversity Manager, Shirley Kendall, confirmed the Outstanding projection for the contract performance measure on Diversity with BHSO's performance measure owner, Pat Palladino.

### Objectives for Next Quarter

- Coordinate reductions in force according to Workforce Restructuring Plan and BNL policy within DOE-approved limits.
- Complete market analysis for CY 2006 salary increase plan.
- Draft Section II of Diversity Engagement Practices profile and seek review by Diversity Management Steering Committee. (Measure #1)
- Meet with Affinity Group leaders to seek feedback on Diversity Services. (Measure #5)

These next two are part of the annual cycle.

- Brief at least two departments on the status of Diversity at monthly staff meeting. (Measure #2)
- Attend S&T strategic planning meeting on July 14 & 15 to plan and align recruitment activities for upcoming career fair season. (Measure #3)

### Issues

- GAO finding on gender-based salary differences at DOE Labs requires determination of response by BSA.
- The rising cost of employee benefits places significant demands on research program funds.
- Current hiring freeze continues to limit employment opportunities for members of protected class groups. Early identification of targeted opportunities must occur. (Measure #3 & #4)
- DV Education Awareness training is conducted in small groups. DV staff is small. Additional resources are required to continue delivery of training. Diversity Office contracted with consultant to deliver Religious Education Awareness sessions in May 2005 and plans to contract with a consultant to deliver Diversity Awareness & Communication session. (Measure #5)

# Occupational Medicine Management System

## Management System Assessment

### Steward Assessment: Green

- Processes and procedures are adequately defined and implemented to protect the institution from significant risk.
- No impending requirements or conditions will represent significant institutional vulnerabilities
- Performance measures indicate a well functioning, compliant system, with only minor improvements needed related to ease of access to MS by users.

### Contract Measures

No contractual measures are related to this management system.

### Risk Measures

Green

**Biological Monitoring:** Occupational exposure to asbestos, cadmium, lead, and noise:

- No instances of overexposure or adverse health effects from asbestos, cadmium, lead or noise.
- One case of beryllium sensitization. Association with beryllium exposure at BNL considered unlikely.

**Employee Assistance Program:** Total contacts, personnel attending workshops, and management consultations: Green

- Very high utilization of services significantly minimizes potential BNL risks associated with emotional disorders. Total contacts for the quarter exceeded 139.
- Promotion of Employee Assistance Program services through Management Counsel Meetings. Collaboration with Human Resources to develop Intervention Program for Supervisors

## Assessment Status/Results

- EAP Program Customer Satisfaction survey showed high satisfaction with program-- 90% of respondents rated service as very good to excellent.
- Management System Maturity Evaluation planned for next quarter.

## Accomplishments

- New Mission Statement developed, better defining the purpose of the Occupational Medicine Management System.
- Completed and submitted to SBMS Office new subject area: "Fitness for Duty, Requesting Determination of"
- Contributed to new Occupational Injury Management Subject Area. Contributed to Lead Subject Area triennial review and made suggestions re: Asbestos Subject Area.

## BHSO Partnership Items

## Objectives for Next Quarter

- Review relevant subject areas and procedures for scheduling physical exams to improve access to OM Management System services and functions.
- Publication of "Fitness for Duty, Requesting Determination of" Subject Area

## Issues

- Assuring full ascertainment and performance of required medical surveillance and certification examinations.

Management System Assessment

Green

Steward Assessment:

- Processes and procedures adequately defined and implemented, and fully functional.
- No impending significant institutional vulnerabilities to BNL.
- Feedback indicates a well-functioning, compliant system, with only minor improvements needed.

Contract Measures

No contractual measures are related to this management system.

Risk Measures

Green

Required Training Completed: Employees, Guests and Contractors:

- Requirements identified and linked to staff and completion of required training statistics remain high and constant.

Assessment Status/Results

- Energized Electrical Work assessment found training program functional and compliant with NFPA and recommended minor, specific revisions to electrical courses.
- Contractor Vendor Orientation was audited by Liberty Mutual in anticipation of the increased construction activities and found it effective, complete, and compliant.
- Cyber Security Review and EMS/OHSAS Registration audit found no training issues.

Accomplishments

- Implemented revised material handling training program and re-trained site-wide crane operators in rigging operations.
- Made improvement to web course training system, including the testing feedback mechanism, and improving accessibility from multi-platform systems.
- Updated Electrical Safety training for improved compliance with NFPA and retrained staff.

BHSO Partnership Items

- Still Need to Check with Pat Palladino for her review and input.

Objectives for Next Quarter

- Continue to make database and web course system upgrades.
- Improve training courses by adding work-specific examples and lessons learned.

Issues

- None

### Management System Assessment

Steward Assessment:

Yellow

- This management system has been given a yellow condition due to the complexity of combining three systems (Internal Communications, External Communications and Education) into one system and integrating the components of each system. However, the assessment for CEGPA's performance measures is well within the green condition rating.

### Contract Measures

Outstanding

Measure 3.6.1 Community, Education, Government and Public Affairs Management

### Assessment Status/Results

- None

### Accomplishments

- Web standardization subject area completed and has been submitted to SBMS for finalization.

### BHSO Partnership Items

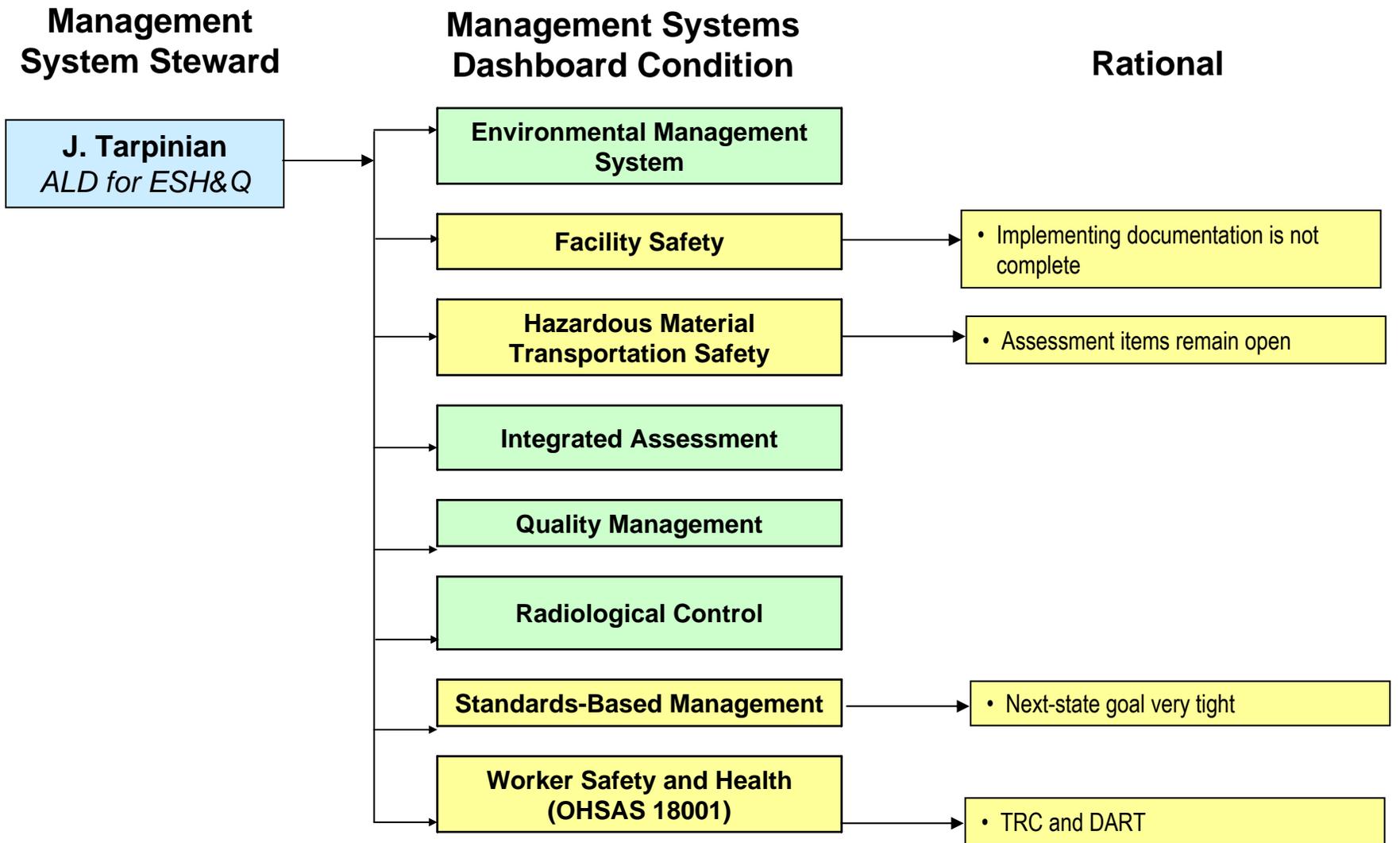
- BHSO does not have any comments at this time.

### Objectives for Next Quarter

- Execute plans for dynamic and interactive Summer Sunday activities to celebrate DOE's Office of Science and the World Year of Physics.
- Complete and execute plans for celebration event for Peconic River cleanup slated for September.
- Complete plan for EM celebration for the end of cleanup slated for October.
- Execute plans for Student Poster Session/Symposium slated for August 11. Congressman Bishop is expected to attend.
- Execute plans for Urban Dispersion event in NY City, August 6-26.
- Initiate execution of HFBR community outreach plan.

### Issues

- None



## Management System Assessment

### Steward Assessment:

Green

- Environmental Performance Index and Assessment results indicate a well functioning, compliant system, with only minor improvements needed
- Overall, BHSO believes BSA's Environmental Management System has been maintained.
- Recent external audit of ISO 14001 EMS found many examples of continual improvement.

### Contract Measures

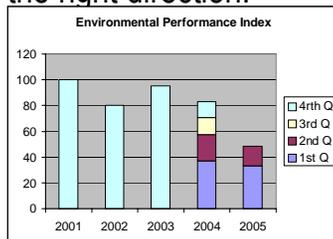
No contract measures are related to this management system.

### Risk Measures

#### Environmental Performance Index

Green

- See attached Environmental Performance Index (EPI). The EPI is a composite index that incorporates leading and lagging indicators of environmental performance.
- Environmental Index is declining, meaning indicators are headed in the right direction.



Green

### Targeted Assessments

- Environmental Monitoring Assessment found that BNL's program is effective for measuring compliance with regulatory requirements and impacts of BNL operations to the environment
- SCDHS Inspections (SPDES/STP) - No deficiencies noted

## Assessment Status/Results

- Environmental Monitoring Assessment found that BNL's program is effective for measuring compliance with regulatory requirements and impacts of BNL operations to the environment
- SCDHS Inspections (SPDES/STP) - No deficiencies noted
- Performance Track Annual Report accepted by EPA

## Accomplishments

- The Plutonium-238 Beryllium (PuBe) neutron sources were successfully removed from the Building 490 Whole Body Neutron Irradiation Facility
- Building 901 regulator containing pure PCBs was removed from site and properly disposed
- Received an award from the Office of Science for the Fleet Management P2 Workshop that was coordinated with the CAC in April 2004

## BHSO Partnership Items

- BSA's EMS has been maintained. The external EMS surveillance audit is being conducted. No major non-conformances are expected.
- Attention should be given for management of compliance issues, such as, boiler opacity exceedances, and ongoing RCRA compliance.

## Objectives for Next Quarter

Addressing any issues identified by the June 2005 ISO 14001 surveillance audit by external registrar

Completing the Waste Characterization Assessment

Major Petroleum Facility and Chemical Bulk Storage Inspections - NYSDEC

Draining the BMRR primary water system

## Issues

- Completion of EM Projects and transition to LTRA

### Management System Assessment

#### Steward Assessment:

Yellow

- Some needed documentation is not complete because of competing priorities, many of which are dumped on top of existing overloads, without recourse or appeal.
- A merger of systems, or a reorganization is needed.

### Contract Measures

No contract measures are related to this management system.

### Risk Measure

#### ORPS Events:

Green

- There have been no ORPS reports linked to causality involving design reviews.
- Design Review process at BNL is adequate. Safety Engineering is developing an internal procedure.

#### Targeted Assessments:

Green

- There are no impending assessments targeting a Facility Safety target.

### Assessment Status/Results

- We are awaiting the results of the Machine Shop Safety Assessment.
- During the 4th Quarter, we will continue assisting Independent Oversight with the Research Support Building construction oversight with BHSO and Liberty Mutual.
- An assessment of Fleet Safety Management will be conducted with support from Liberty Mutual Loss Prevention during the next quarter.

### Accomplishments

- Revisions of three overlapping subject areas (WS&H and FS) were completed along with five new subject areas during the third quarter.
- One procedure was completed in response to an ORPS event on Railcar Safety and has been incorporated into the revision of the Traffic Safety Subject Area already.
- Two subject areas which would have been overdue, have been outsourced for completion during the fourth quarter.

### BHSO Partnership Items

- Safety Engineering and BHSO have combined to complete a Lab-wide assessment of Machine Shop Safety. No feedback from BHSO has been provided to date.

### Objectives for Next Quarter

#### Issues

- Risk Measures only address high risk probabilities. That is not where the losses are. There is a need to address routine risk and risk transfer issues beyond JRA and FRAs.
- We are experiencing greater risk by the levels of autonomy granted certain organizations and the need to address WC/GL/AL issues beyond OI issues.

Management System Assessment

## Steward Assessment:

Yellow

- Closeout of self assessment and DOE focused assessment ATS items has been slow due to competing priorities
- System documentation maintenance is dynamic due to frequently changing DOT rules, the system has been able to keep up with these changes.
- A backup for the laboratory TSO is being developed

Contract Measures

No contract measures are related to this management system.

Risk Measures

## ORPS Events

Green

- There were no ORPS reportable events related to transportation this quarter.
- All but one corrective action of the transportation related ORPS reported last quarter have been closed out.

## Targeted Assessments

Yellow

- Closeout of self assessment and DOE focused assessment ATS items has been slow due to competing priorities

Assessment Status/Results

- Two ATS items remain open from the BNL TCEAP Self Assessment ATS #2000.1.20 "Contingency Recovery" and ATS #2000.1.22 "JTA assessment."
- One concern from the DOE focused assessment remains open "Link CMS to a process to identify MOT's". This issue is still under investigation to provide a adequate solution

Accomplishments

- The four transportation related subject areas have been combined into two. This change was submitted to SBMS on 5/26 and is pending publishing.
- Criteria for railroad related transportation issues was incorporated into the Traffic Safety Subject Area

BHSO Partnership Items

- BHSO will participate in the August 2005 Management System Maturity Evaluation

Objectives for Next Quarter

- A Management System Maturity Evaluation is scheduled for August 2005.
- Complete open ATS items from the internal self assessment and the DOE TCEAP (focused) assessment.

Issues

- Competing priorities continue to divert resources from the Transportation Program. Although no serious issues have been caused further program improvement have been slowed.

### Management System Assessment

Steward Assessment: Green

### Contract Measures Excellent

Measure 3.3.1 Management System Maturity Determinations:

Measure 3.3.2 Third Party Assessment of Program:

### Risk Measures

No risk measures are directly monitored under this management system.

### Assessment Status/Results

- Third Party Evaluation of Management System Self-Assessment Program – Phase 1 was initiated

### Accomplishments

- Evaluating PB Views as a management tool to roll-up institutional, organizational, and contractual performance data.

### BHSO Partnership Items

### Objectives for Next Quarter

- Brief BHSO on the corporate assurance process.
- Update the Management System to include the corporate assurance requirements from the contract.
- Complete Maturity Determinations for 6 management systems.
- Finish Phase 1 (approach and deployment) and initiate and complete Phase 2 (results) of the Third Party Evaluation.

### Issues

- None

### Management System Assessment

Steward Assessment: Green

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

No risk measures are directly monitored under this management system.

### Assessment Status/Results

- A plan has been prepared for improvements to a Event Management Process.
  - Provide guidance using a graded approach to determine when and how to verify effectiveness of ORPS corrective actions.
  - Facilitate modification of the Critique Process.
  - Determine and implement appropriate actions to address findings from the Lessons Learned assessment.
- Revised vendor terms and conditions to include the S/CI requirements.
- Provided vendors with information and identification cards to help identify and comply with S/CI requirements.

### Accomplishments

- BNL's Quality Assurance Program received DOE letter of approval June 8, 2005
- Facilitated a quarterly Categorizer's Workshop (#2005-01) on April 7, 2005
- Facilitated Tier 1 Workshop (#2005-02) on April 19, 2005. The goals of this workshop are to review ESH&Q (Tier 1) Inspection tracking/trending data at the organizational and/or institutional levels
- Submitted a revision to the "Recurring Material Handling Problems" Final Report in the ORPS database (April 1, 2005)
- Developed Lessons learned for "Stanford Linear Accelerator Center Contractor Hospitalized after Arc Flash" and presented at at ITD All-hands Meeting (May 5, 2005)

### Objectives for Next Quarter

- Increase involvement in CFN's procurement.
- Work to support other management systems in that received a "yellow" assessment.

### Issues

- Need to strengthen "Corrective Action Management"
- This management system utilizes other management systems that received a "yellow" assessment.
- This management system maintains the description of the Quality Program used for compliance and PAAA.

### Management System Assessment

Steward Assessment:

Green

- Processes and procedures are adequately defined and implemented to protect the institution from significant risk.

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

PAAA Trend Analysis:

Yellow

- The Emergency Exposure Situations Assessment found that Emergency Services Procedures had been deleted without carrying forward specific 10CFR835 requirements.
- This finding was determined to be a PAAA violation and NTS reportable. Corrective actions were added to the existing Emergency Management Program NTS report.

Targeted Assessments – 1) Loss of DOELAP Accreditation/NIST Traceability for I&C Radiation Fields; 2) Regulatory Compliance: Yellow

- Calibration of the Low Scatter Irradiator (LSI) Source #6, used primarily for Personnel Monitoring dosimetry QC measurements, became overdue 5/14/05.
- The Hopewell BX-3 Box Calibrator became overdue for calibration on 4/13/05 and has been placed out of service.

Material Balance Report – Inventory Balance Acceptable: Green

- All inventory reports and Material Balance Area (MBA) Inspections are up to date and current.

ALARA: Projecting <1,000 mRem/yr Worker Dose: Green

- There are no BNL Radiological Workers with calendar year-to-date doses > 500 mrem.

### Assessment Status/Results

- No assessments were conducted this quarter.
- There are 6 assessments planned: Sealed Source Program, Free Release, Records, RGDs, DOELAP External Dosimetry and Nuclear Material Control and Accountability.
- Internal and external dosimetry vendor assessments have been successfully completed.

### Accomplishments

- DOELAP External Dosimetry Performance Tests were successfully passed in all categories (beta, photon and neutron). Performance testing occurs every other year.

### BHSO Partnership Items

- BHSO requires more assurance that assessors are performing robust reviews of program documentation and implementing procedures that support field activities.
- BHSO has a concern about the processes BNL uses to qualify visitors, guests and students to work in radiologically controlled areas in the Life Sciences Directorate.

### Objectives for Next Quarter

- RCD is planning on publishing results of an evaluation of the effectiveness of the Radiological Awareness Report (RAR) Program.
- Complete and publish the stand-alone Material Control and Accountability Plan.

### Issues

- A contract is being established to employ the services of the previous Quality Engineer in the Instrumentation and Calibration Group.
- A revision to 10CFR835 is under review in DOE HQ. The proposed changes primarily affect sealed source accounting thresholds, and there would be minimal impact to BNL.

### Management System Assessment

#### Steward Assessment:

Yellow

- Achievement of "Next State" goal continues to be in jeopardy due to delayed submittal of drafts and revisions of SBMS documents September.
- Publication of these documents on SBMS may not be achieved by 9/30. The impact will not result in damage to BNL's reputation, fines or loss of fee.

### Contract Measures

No contract measures are related to this management system.

### Risk Measures

No risk measures are directly monitored by this management system, however, this MS is a key element in mitigating risk.

### Assessment Status/Results

#### Accomplishments

- Requirements Data has been validated; will begin preparations for a focused, lab-wide effort to improve the requirements data in FY06.
- Completed several SBMS web site post roll-out tasks; specifically the Comment Button, the Role Management tool, the "Print All" capability for Subject Areas. Also brought the new web site's style/format to the Program Descriptions.

#### BHSO Partnership Items

- Regarding the "Next State" goal: General concern that information in SBMS is outdated or incorrect. This could lead to significant non-compliances.
- The SBMS group has been proactively working with users to address post roll out problems like broken links.

#### Objectives for Next Quarter

- Begin working with selected management systems to test Requirements Management tools.
- Complete content development in support of the "Next State" goal.

#### Issues

- Commitment dates for updating content on SBMS web site are not being met by Stewards and POCs.
- Need to respond to feedback on content development process.

### Management System Assessment

Steward Assessment: **Yellow**

- Although significant progress has been made in stabilizing the TRC and DART rates given the current trend both rates could move from the "excellent" to the "good" rating.
- External assistance (John Dew , Dupont, Shane Bush) in the form of assessments or training has recently been completed or is ongoing. Results will help shape future improvements.
- Significant resources are being applied to the 18001 registration, positive results of this process can be expected in the long term.

### Contract Measures

Measure 3.4.1. OSHA Reportable Injury Management

Measure 3.4.1.1 Days Away, Restricted, or Transferred Rate

Measure 3.4.1.2 Total Reportable Case Rate

### Assessment Status/Results

- An assessment of BNL's IH monitoring program was conducted by BHSO:
  - 2 Lab Wide Concerns (Unfinished noise exposure characterization; Inadequate welding and metal cutting hazard characterization)
  - No Lab Wide Findings
  - 6 Lab Wide Observations (Incompletes established monitoring requirements in SBMS; No requirement for Exposure Monitoring database entry; Hood efficiency testing variably done; No policy for working with carcinogens; Service charge back model inhibits delivery; Service delivery organization structure problems.)
  - 4 Site Wide Noteworthy Items (Work permits; ESR for chemical use; Staff knowledge of SBMS; Awareness of Lessons Learned)
  - No Facility level concerns
  - 4 Facility level observations (RCT training inadequate in IH; RCD interpretation of IH expertise; RCD not observing workers during monitoring; No ESR for Pesticide application in BO)
  - 4 Facility Noteworthy Items (SHSD calibration program; SHSD heat stress monitoring program; F&O chemical procurement review; F&O exposure monitoring reports)
- Focused management assessment by BHSO is underway to look at two specific incidents (utility strike and box lid tipping) the later incident resulted in a serious injury.
- The OHSAS 18001 Phase II Registration Onsite Readiness Review will be conducted during the 4<sup>th</sup> quarter.

### Accomplishments

- A re-certification audit was performed in June against the OHSAS 18001 standard with no non-conformances noted for the phase I organizations.
- Approximately 78% of the OSHA findings have been addressed, this represents 58% of the costs.
- Initiated ISM follow-up review with consultant.
- Conducted ISM Senior Management Workshop.
- DDO, ALD for ESH&Q, QMO Manager and SHSD Manager attended Senior Executive Safety Summit
- Developed Senior Management Safety Leadership Training Course.
- Charlie Morecraft addressed the Lab in May on Safety Leadership.
- Participated in the National Safety Council's National Safety Month in June.

### BHSO Partnership Items

### Objectives for Next Quarter

- This management system along with facility safety will be retired and the content integrated into the OSH/ISM management system providing a more concise requirements set.
- Roll-up the results from the ongoing external assessments (Dew, Dupont and DOE focused assessment) and make corrective actions as necessary.

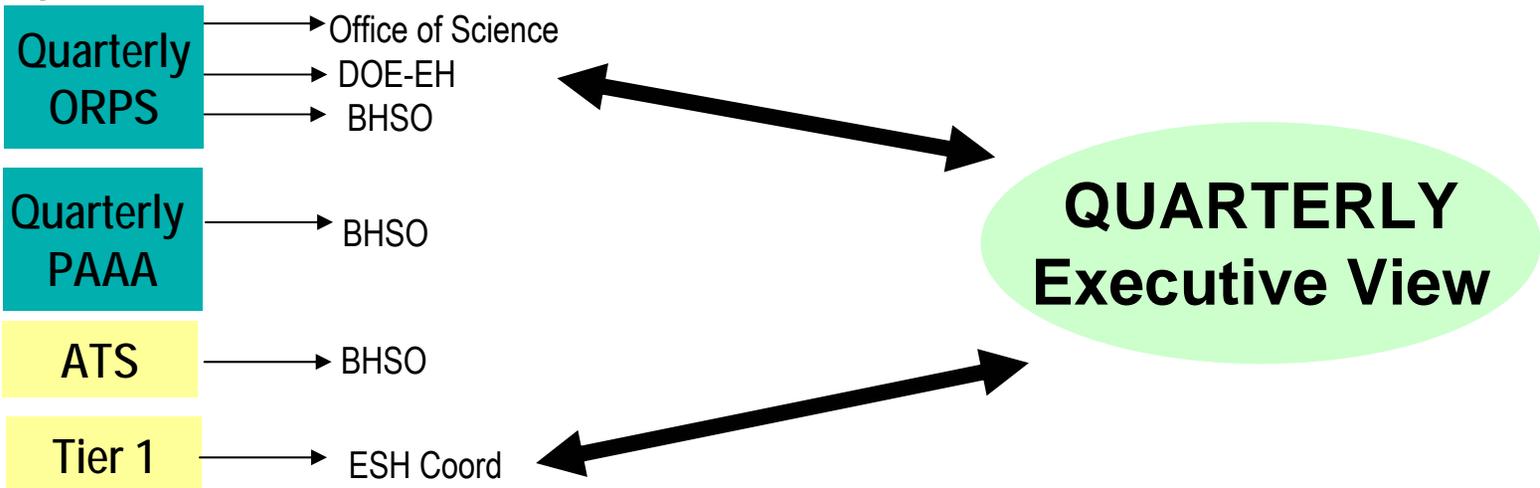
### Issues

- Impending implementation of the 10 CFR 851 Rule will be a potential significant resource burden for the laboratory.
- While good progress has been made on closing out OSHA findings, availability of funding may impact the completion date.

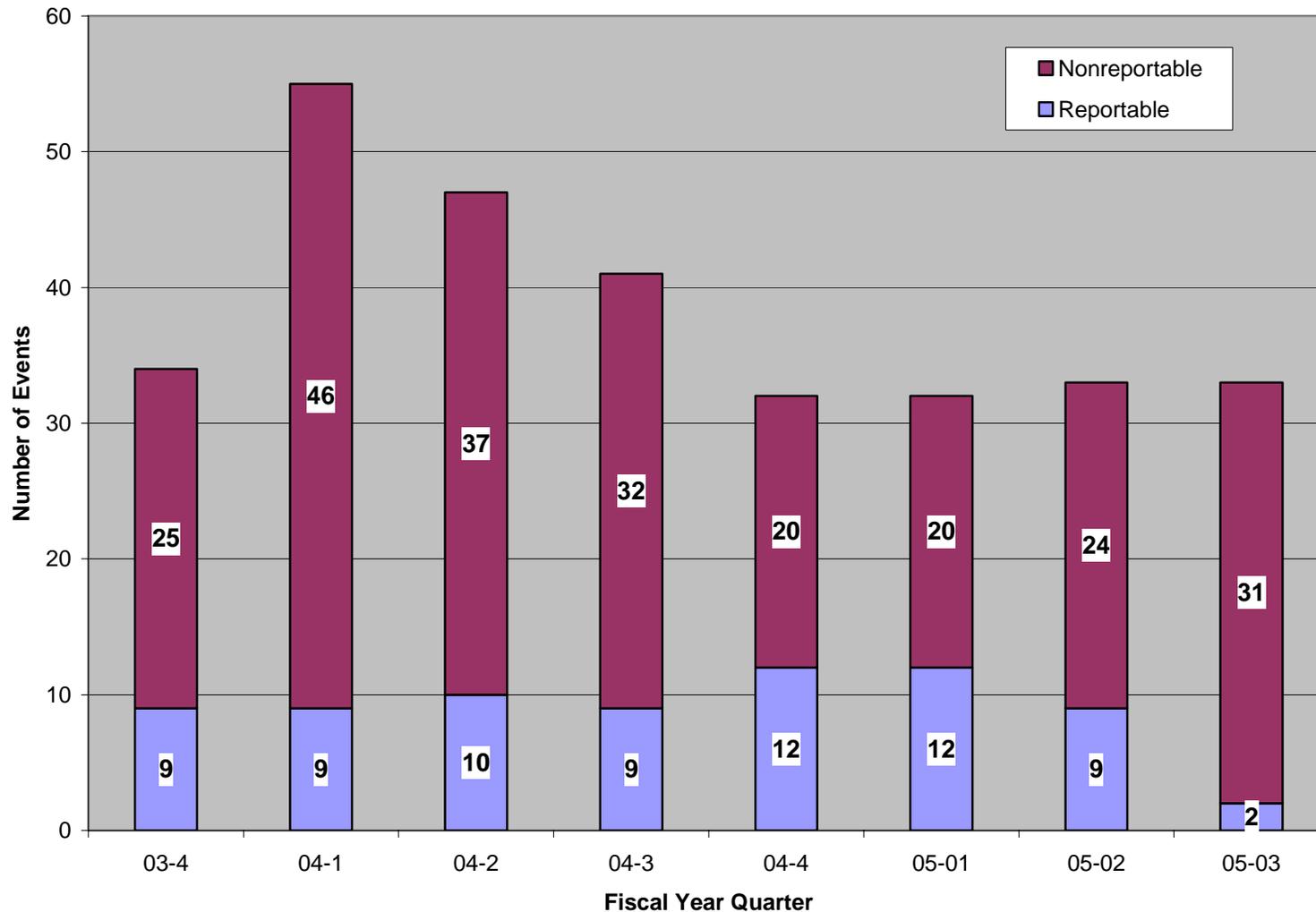
# Institutional Performance

- ORPS
- PAAA
- Assessment/Corrective Action Tracking
- Tier 1 Inspection Results

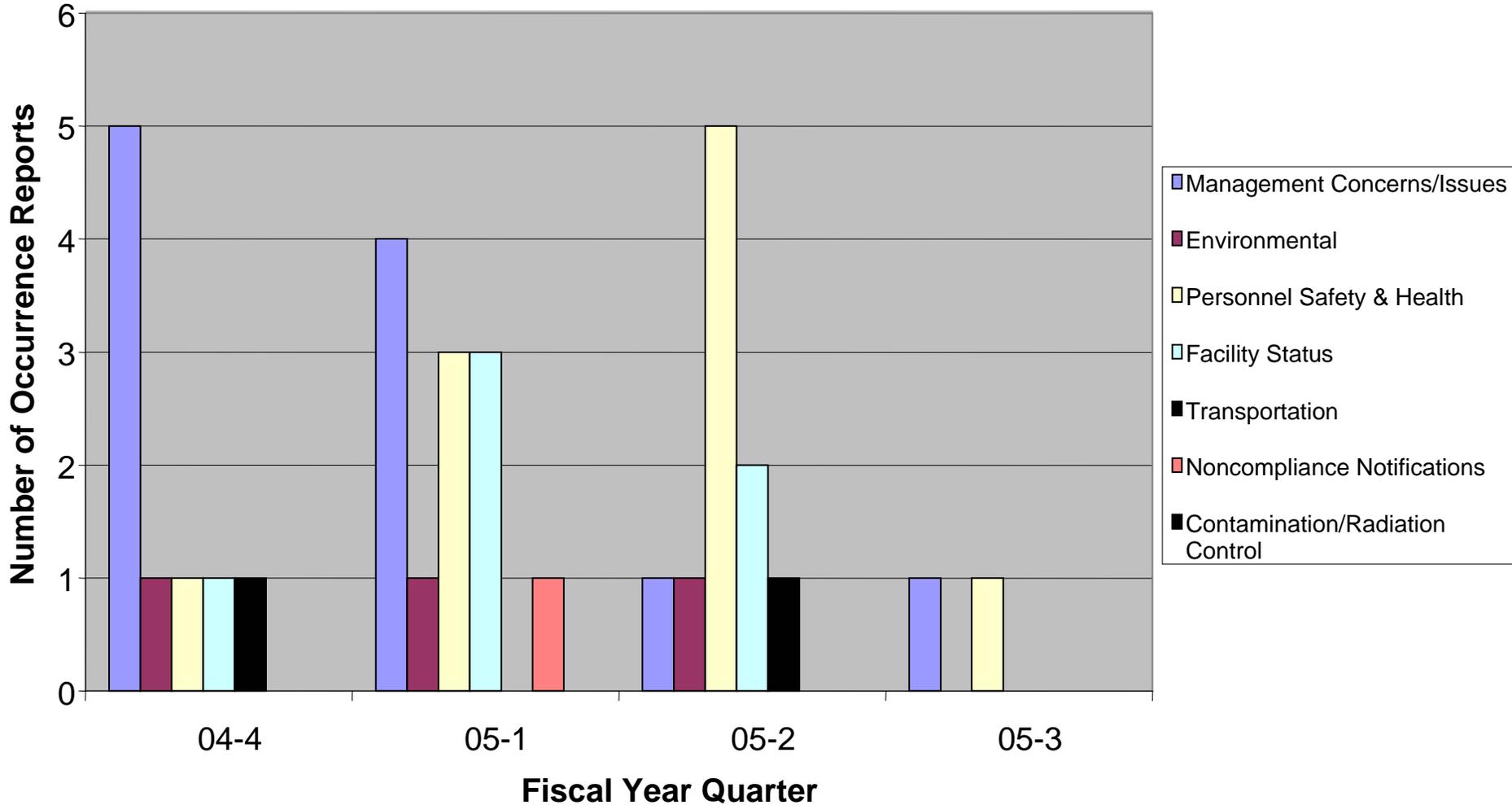
## Requirement



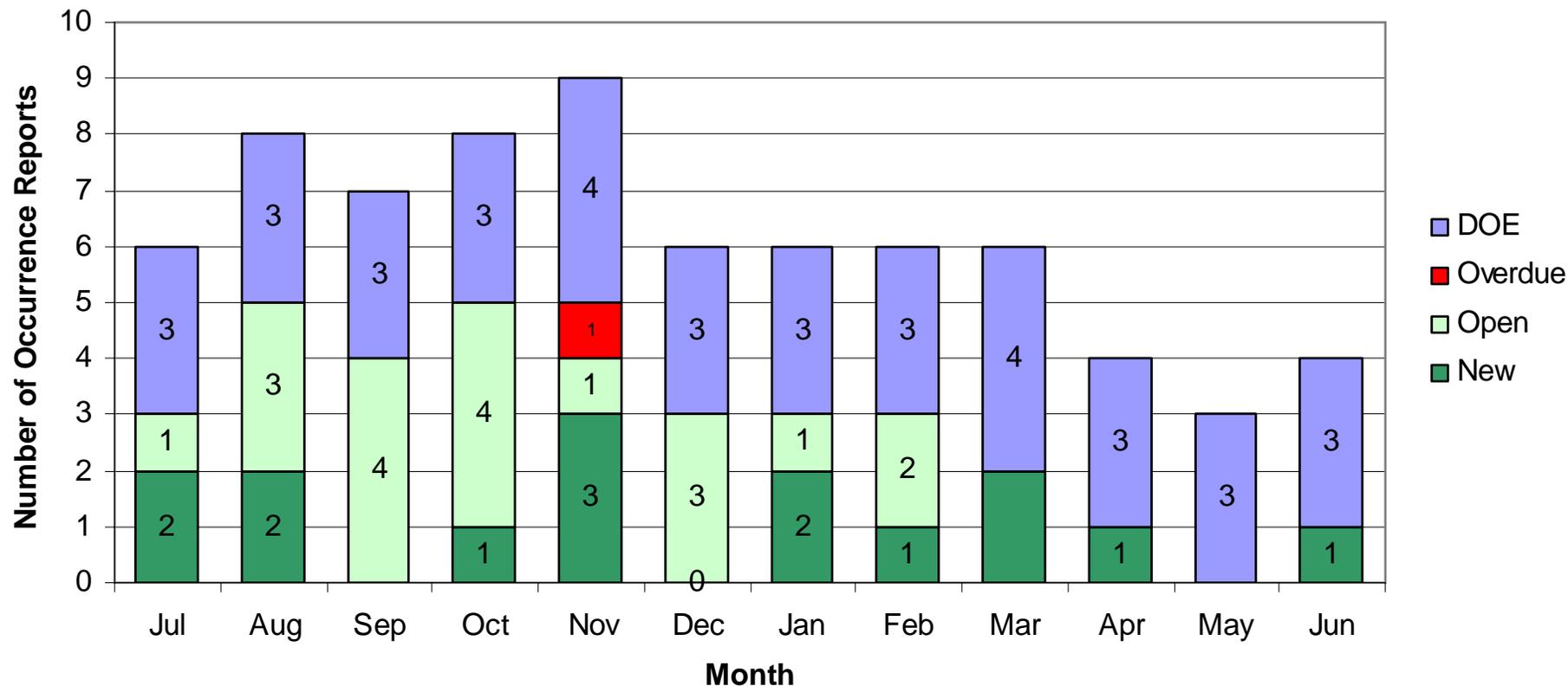
## ORPS Reportable and ORPS Nonreportable Logbook Events



# Distribution of ORPS Reports by Reporting Criteria



## Status of BNL ORPS Reports

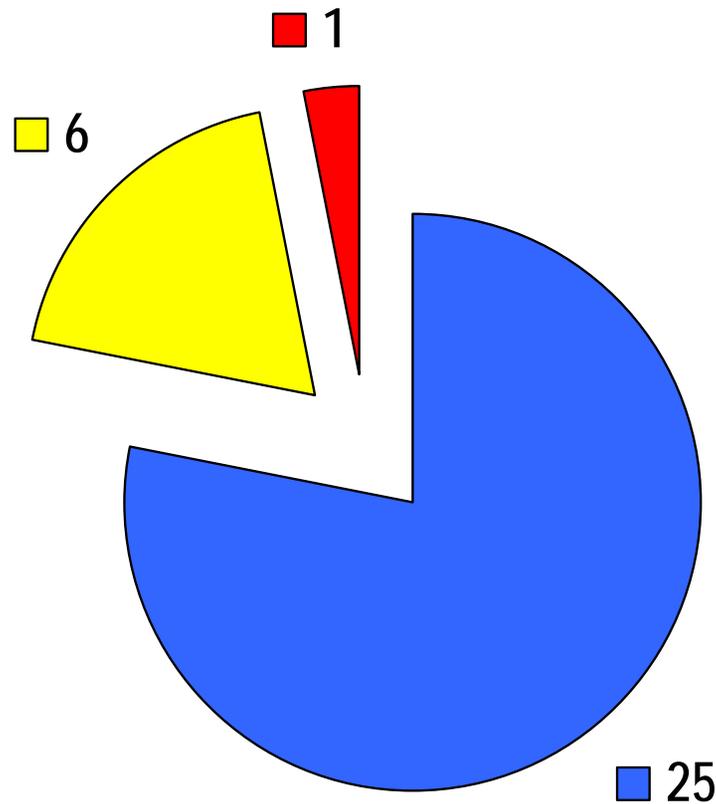


The following three reports (dating back to 1999) are still awaiting approval by DOE Program Managers:

- CH-BH-BNL-BNL-1999-0021, "Liquid Nitrogen Dewar Overpressure"
- CH-BH-BNL-BNL-2001-0030, "Misclassification of Radioactive Material Shipped Offsite"
- CH-BH-BNL-BNL-2003-0003, "Receipt of Radioactive Material Shipment exceeds 49 CFR 173.443 Package Contamination Limits"

## The Process

- Line organizations Prescreen for PAAA
- Forward to Lab PAAA Coordinator for review
- Potentially reportable issues go to PAAA Board for Vote



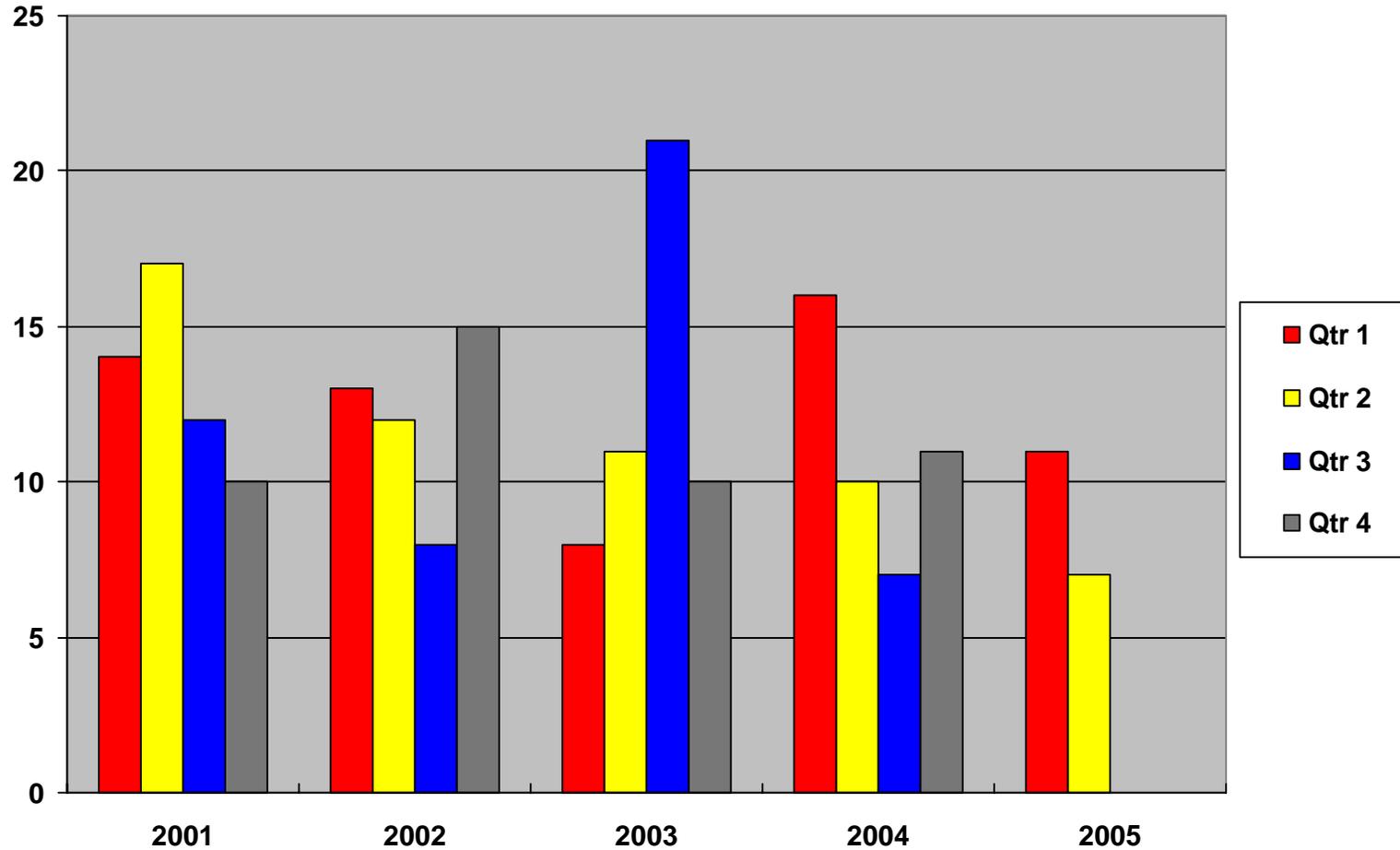
■ No PAAA Noncompliance   ■ Nonreportable PAAA   ■ NTS (Nuclear)

Noncompliance  
PAAA-Non-reportable

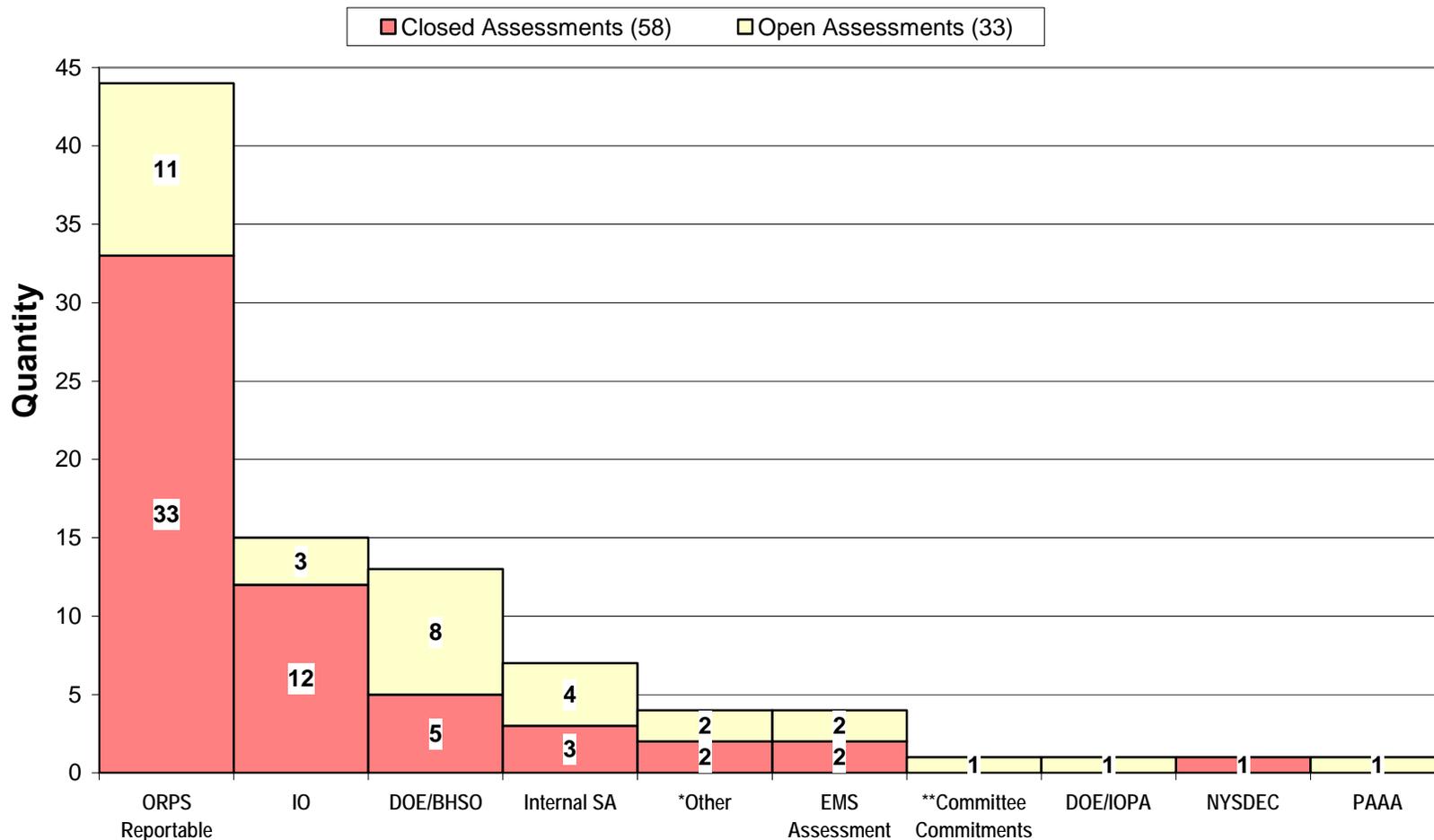
Noncompliance  
PAAA Reportable

# PAAA Noncompliance Per Calendar Quarter

Period 01/01/2001 – 06/30/2005



**Entered 3rd Quarter FY05 - 9**  
**Total Entered - 91**

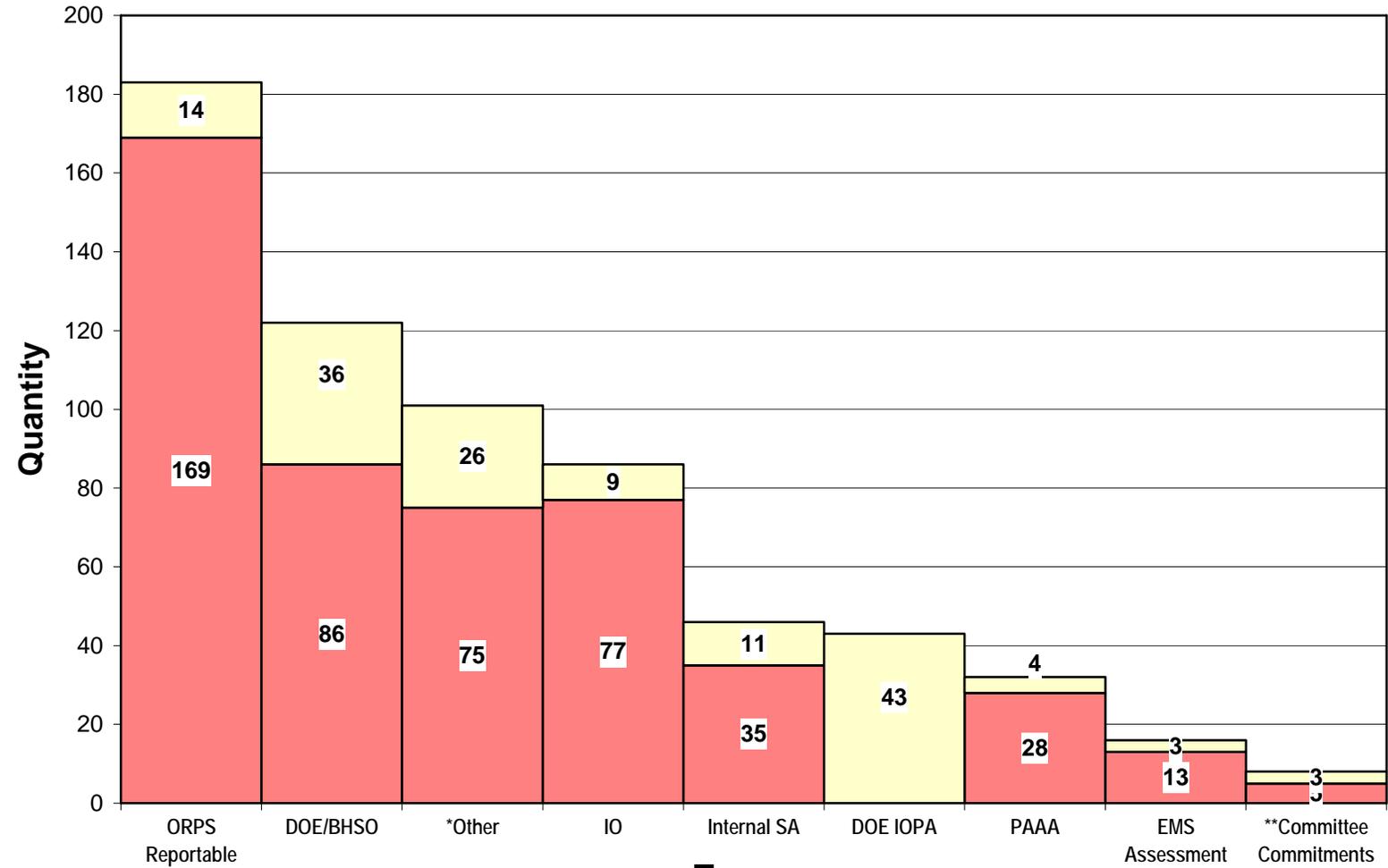


\*OHSAS, Third Party, Nuclear Criticality Safety Program,  
 Safety Improvement Plan for Electrical Safety Program  
 \*\* Laboratory Environment Safety & Health Committee

Type  
 83

Entered 3rd Quarter FY05 - 142  
 Total Entered - 637

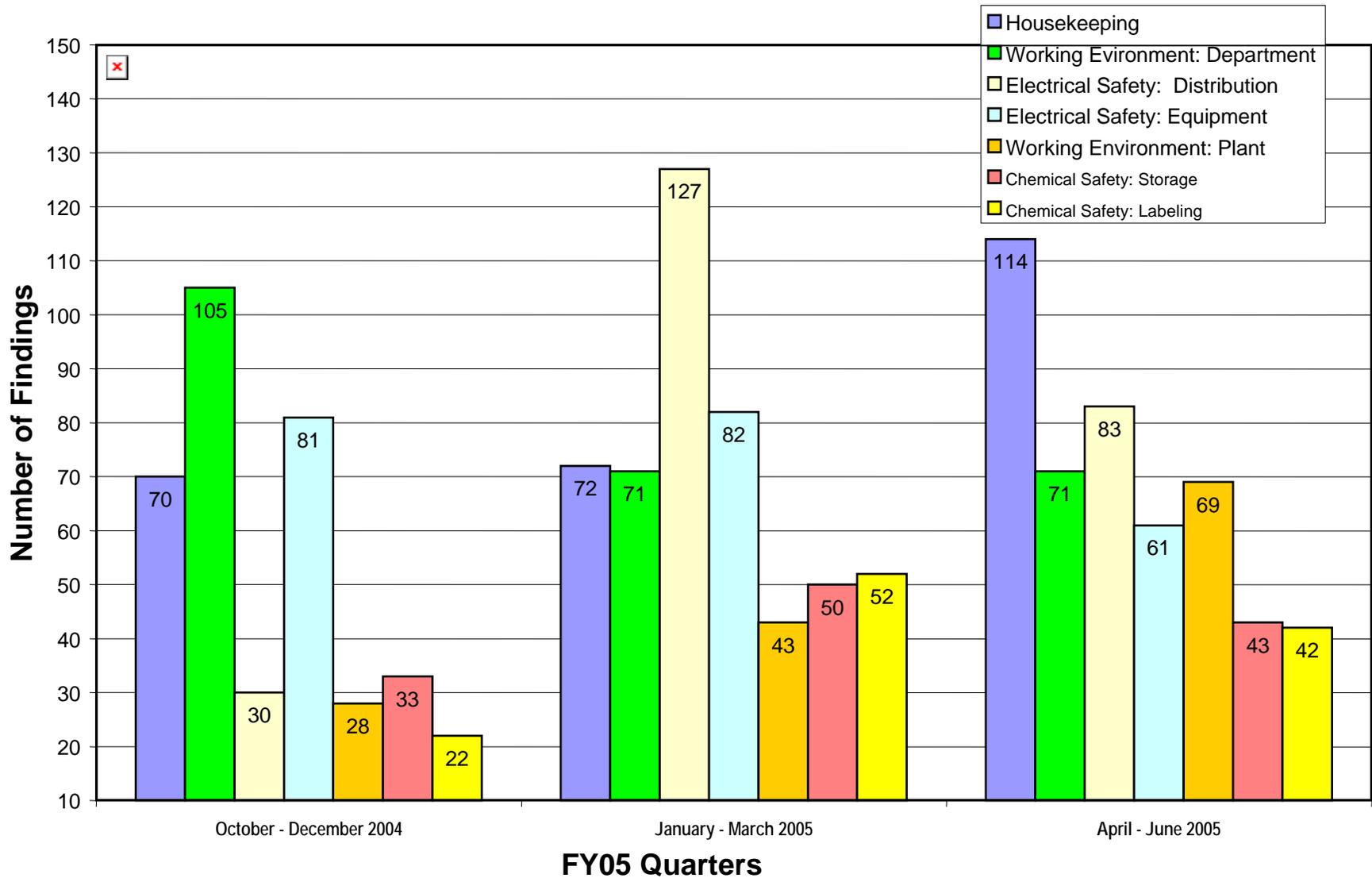
■ Closed Actions (488)    □ Open Actions (149)



\*OHSAS, Third Party, Nuclear Criticality Safety Program,  
 Safety Improvement Plan for Electrical Safety Program  
 \*\* Laboratory Environment Safety & Health Committee

Type

# Laboratory Tier 1 Inspections Top Categories



# Laboratory Tier 1 Quarterly Inspection Total FY05 Findings by Directorate

Total Observations = 1962

